DOCUMENT RESUME

ED 297 634 HE 021 600

TITLE A Collection of Papers on Self-Study and Institutional Improvement.

INSTITUTION North Central Association of Colleges and Schools, Chicago, IL. Commission on Institutions of Higher Education.

PUB DATE 88

NOTE 252p.; Prepared for the program of the Commission on Institutions of Higher Education at the Annual Meeting of the North Central Association of Colleges and Schools (93rd, Chicago, IL, March 6-8, 1988).

AVAILABLE FROM North Central Association, 159 N. Dearborn, Chicago, IL 60601 ($10.00).

PUB TYPE Collected Works - Conference Proceedings (021)

EDRS PRICE MF01/PC11 Plus Postage.

DESCRIPTORS *Accreditation (Institutions); Administrative Organization; College Administration; *College Planning; *Evaluation Criteria; *Evaluation Methods; Graduate Study; Higher Education; *Institutional Evaluation; Liberal Arts; Needs Assessment; Organizational Objectives; *Self Evaluation (Groups); Two Year Colleges; Vocational Education

IDENTIFIERS External Evaluation; *Site Visits

ABSTRACT

This collection of 77 papers consists of the following 16 chapters and sample papers: (1) The New General Institutional Requirements ("What Does the Commission Expect from the Institution's Governing Board?" by Jane F. Earley and "The Role of the Faculty in Program Development," by Frederick Crosson); (2) "Overview on the General Institutional Requirements and the Interrelationship of the Evaluative Criteria" for vocational-technical institutes by James S. Biddle, two-year institutions by Nancy C. DeSombre, and graduate institutions by John E. La Tourette); (3-6) Evaluative Criteria (four chapters, with 21 papers); (7) Workshop for Self-Study Coordinators ("The Self-Study Plan: The Blueprint for a Quality Institutional Assessment," by Edward W. Holzapfel, Jr.); (8) Using the Self-Study Process for Institutional Improvement ("Self-Study: Key to Successful Institutional Renewal and Change," by David J. Mason); (9) Data Collection ("Data Collection: Using Locally Developed Instruments to Assess Your Institution," by Denis Roark); (10) Writing the Self-Study Report (three papers by Terry Hetrick, Earl R. Alton, and Robert Chaffin and Thomas Herzing); (11) Making the Most of the On-Site Visit (two papers by Sigfredo Maestas and Jerry Alexander); (12) After the Visit: Ongoing Self-Study and Institutional Improvement (two papers by Gary Justice and Ruth M. Roberts); (13) Single Purpose Institutions: Special Challenges ("Nursing Education in Transition," by Kathleen Hogan); (14) Institutional Change ("Institutional Change: Expansion Off Campus," by Charles Keffer); (15) Institutional Good Practices ("Institutional Commitment to Cultural Diversity," by Zelema Harris and "Adjunct Faculty," by Brenda Marshall Beckman); (16) Selected Papers on Self-Study and Institutional Improvement ("Measuring General Education Outcomes" by Patricia D. Murphy). General Institutional requirements and evaluative criteria for accreditation and candidacy are appended. (KM)

NCA

ED297634

A COLLECTION OF PAPERS ON SELF-STUDY AND INSTITUTIONAL IMPROVEMENT

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

✓ This document has been reproduced as received from the person or organization originating it.

☐ Minor changes have been made to improve reproduction quality.

• Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY
Comm on Inst. of H.E.
North Central Assoc of Coll & Univ
TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

Commission on Institutions of Higher Education
1988

HE 021 600

2

A COLLECTION OF PAPERS ON SELF-STUDY AND INSTITUTIONAL IMPROVEMENT 1988

Prepared for the program of the Commission on Institutions of Higher Education at the ninety-third Annual Meeting of the North Central Association of Colleges and Schools

March 6-8, 1988, in Chicago, Illinois

North Central Association of Colleges and Schools

COMMISSION ON INSTITUTIONS OF HIGHER EDUCATION

159 North Dearborn Street
Chicago, Illinois 60601

(312) 263-0456 (800) 621-7440

1988

©1988 by the Commission on Institutions of Higher Education of the North Central Association of Colleges and Schools. Additional copies of this document can be ordered from: North Central Association, 159 N. Dearborn, Chicago IL 60601. $10.00.

CONTENTS

	Foreword	ix
I.	**The New General Institutional Requirements**	1
	Changes in General Education Requirements for Vocational-Technical Institutes and Business Colleges ..... *Joel Goldberg*	3
	General Education/Related Education ..... *Susan Murphy*	5
	What Does the Commission Expect from the Institution's Governing Board? ..... *Jane F. Earley*	6
	The Role of the Faculty in Program Development ..... *Frederick Crosson*	8
II.	**Overview on the General Institutional Requirements and the Interrelationship of the Evaluative Criteria**	11
	Overview on the General Institutional Requirements and the Interrelationships of the Evaluative Criteria for Vocational-Technical Institutes ..... *James S. Biddle*	13
	Overview on the General Institutional Requirements and the Interrelationships of the Evaluative Criteria for Two-Year Institutions ..... *Nancy C. DeSombre*	17
	Overview on the General Institutional Requirements and the Interrelationships of the Evaluative Criteria for Graduate Institutions ..... *John E. La Tourette*	20
III.	**Evaluative Criterion One**	25
	The Central Role of Institutional Mission and Purposes ..... *George E. Ayers*	27
IV.	**Evaluative Criterion Two**	29
	Assessing Financial Resources in the Self-Study Process ..... *Harold McAninch*	31

Evaluating Financial Resources ..... *Gary Olsen* 33

Evaluating Educational Support Services: Libraries, Labs, ?
..... *Sr. Katherine Delaney* 35

Defining and Evaluating Student Services in a Residential College
..... *Vernon V. Mai* 37

Defining and Evaluating Student Services ..... *Burt Fettig* 40

Staffing Student Personnel Offices in a Commuter Campus:
Some Special Considerations ..... *Dominic Martia* 42

Student Personnel Needs of a Commuter Campus: Evaluating
Support Services ..... *Elaine King Miller* 44

Evaluating the Often Overlooked ..... *Georgia E. Lesh-Laurie* 46

V. **Evaluative Criterion Three** 49

Finding Appropriate Methods of Assessment: The Liberal
Arts College ..... *Eliot Elfner* 51

What is Qualitative Evaluation? How Can It Provide Evidence of
Achieving Institutional Purposes? ..... *Yvonna S. Lincoln* 56

The Challenges of Selecting Appropriate Instruments to
Measure Outcomes ..... *Mary J. Fehr* 59

The Challenge of Developing an Assessment Program at a
Comprehensive Institution ..... *Lou McClelland* 65

Strategies for Assessing the Quality of Educational Services
..... *Alice T. Clark* 67

Using Student Follow Up Studies in Institutional Planning
..... *David Williams* 69

VI. **Evaluative Criterion Four** 71

Evaluating Institutional Planning Processes
..... *Paige Mulhollan* 73

How Should the Self-Study Process be Related to Institutional
Planning? ..... *Stephen Jonas* 75

The Role of Needs Assessment in Evaluation
.....*Adelbert J. Purga* 78

Strategic Planning as a Self-Study Process
.....*Robert Shirley* 80

How Can Strategic Planning Contribute to the Self-Study Process?
.....*Sr. Mary Francilene, CSSF* 82

Measures of Institutional Stability
.....*Dorothy I. MacConkey* 85

VII. Workshop for Self-Study Coordinators 87

The Self-Study Plan: The Blueprint for a Quality Institutional Assessment .....*Edward W. Holzapfel, Jr.* 89

Self-Study Coordination at a Community College
.....*Thomas Stone and Richard Thompson* 92

Managing Self-Study by Objective.....*Lila Seaman* 94

Seizing the Self-Study for Self-Interest: Confessions of a Cynical Coordinator .....*Edwin H. Welch* 97

The Self-Study Coordinator's Responsibilities at a Liberal Arts College .....*Mildred Chapman* 100

Planning for Reaccreditation Review .....*John T. Farr* 103

Coordinating the Self-Study: Major Points of Choice
.....*Daniel E. Ferritor and Nancy Ellen Talburt* 106

VIII. Using the Self-Study Process for Institutional Improvement 111

Self-Study and Long Range Planning: A Complementing Process
.....*Daniel Brobst* 113

Using the Self-Study Process for Institutional Improvement
.....*Margaret B. Lee* 115

Using the NCA Self-Study to Build on a Strategic Planning Base
.....*Joe Birmingham* 116

Self-Study: Key to Successful Institutional Renewal and Change
.....*David J. Mason* 118

Using the Commission as a Process for Strategic Planning and Self-Study .....*William M. Wiebenga* 123

An Integrated Approach to Institutional Self-Study: Strategic and Internal Planning at Northern Michigan University
.....*Ruth D. Roebke-Berens* 126

IX. Data Collection 129

How Can an Institution Maximize its Analytical Support for the Self-Study? .....*Susy S. Chan* 131

Data Collection: Using Locally Developed Instruments to Assess Your Institution .....*Denis Roark* 134

X. Writing the Self-Study Report 137

Writing the Self-Study Report .....*Terry Hetrick* 139

Writing the Self-Study Report .....*Earl R. Alton* 143

Writing the Self-Study Report
.....*Robert Chaffin and Thomas Herzing* 146

XI. Making the Most of the On-Site Visit 149

Making the Most of the On-Site Visit.....*Sigfredo Maestas* 151

Making the Most of the On-Site Visit.....*Jerry Alexander* 154

XII. After the Visit: Ongoing Self-Study and Institutional Improvement 157

After the Visit: Ongoing Self-Study and Institutional Improvement
.....*Gary Justice* 159

After the Visit: Ongoing Self-Study and Institutional Improvement
.....*Ruth M. Roberts* 161

XIII. **Single Purpose Institutions: Special Challenges** 163

Accreditation of Single Purpose Institutions: A Historical Perspective ..... *Randall Thompson* 165

Single Purpose Institutions: Special Challenges ..... *Thomas Brown* 170

Nursing Education in Transition ..... *Kathleen Hogan* 172

XIV. **Institutional Change** 177

Institutional Change: Moving to the Higher Degree Level ..... *Sr. Mary Odile Cahoon* 179

Institutional Change: Expansion Off Campus ..... *Charles Keffer* 182

XV. **Institutional Good Practices** 183

Institutional Commitment to Cultural Diversity ..... *Zelema Harris* 185

Ethics of Student Recruitment in a Tight Market ..... *Terrence J. MacTaggart* 187

Developing and Monitoring Cooperative Arrangements ..... *Roland Barden* 189

Developing and Monitoring Cooperative Arrangements ..... *Arlene Larson* 193

Contracting for Educational Services: Identifying Expectations and Evaluating Outcomes ..... *Daniel T. Hayes* 197

Contracting for Educational Services ..... *Howard A. Sulkin* 199

Non-Traditional Programs: The Adult Learner ..... *Phyllis M. Cunningham* 202

Non-Traditional Programs: The Adult Learner ..... *Susan T. Rydell* 205

Adjunct Faculty ..... *Brenda Marshall Beckman* 208

International Programs: Pitfalls to Avoid ..... *Marshall Geer* 210

The Real Curriculum ..... *Joseph S. Johnston, Jr.* 214

XVI. Selected Papers on Self-Study and Institutional Improvement 217

Observations on Self-Study and Evaluation ..... *Neil Thorburn* 219

Developing the Self-Study Plan ..... *Paul L. Gaston* 223

Moving from Candidacy to Accreditation ..... *Marie A. Giacomelli* 227

General Education Through Goal Attainment ..... *Betty C. Chang* 230

Measuring General Education Outcomes ..... *Patricia D. Murphy* 233

Revising General Education: A Case Study ..... *Robert Zwier* 236

Enrollment Management ..... *Robert E. Glennen* 240

Financial Aid: Strategies for the Future ..... *Mary Haldane* 244

The Changing Role of the Governing Board ..... *George Janik* 247

Developing a Faculty for the Future: Cost-Effective Faculty Renewal ..... *William Nelsen* 249

Non-Traditional Graduate Education: A Many Splendored Thing ..... *Carl E. Rollyson, Jr.* 251

Appendix 253

The General Institutional Requirements 255

The Evaluative Criteria for Accreditation and Candidacy 257

FOREWORD

The Commission asked the speakers for the 1988 Annual Meeting of the Commission on Institutions of Higher Education to provide written materials related to their oral presentations. This collection includes those materials, which we have gathered together here to make them more easily available to those attending the Annual Meeting. We also include in this volume some papers from the 1987 Annual Meeting that deal with different topics or that others have told us were especially helpful to them.

This fourth publication of our Annual Meeting papers is an extraordinary collection indeed, with contributions from representatives of a broad spectrum of institutions of many types and degree levels. I am impressed by the writers' understanding of critical issues relating to institutional evaluation and improvement and of their generosity in sharing their experiences and insights. The comments and views of the authors represent a spectrum of opinions that should be stimulating to us all and will surely be helpful to those in institutions currently undergoing institutional self-study and evaluation.

Because we have found that previous collections have proven to be useful to those not attending the Annual Meeting, the Commission will make this volume available by mail so long as the supply lasts. We invite those of you who use the collection as a part of your self-study to send us your comments about its value to you, and we welcome your suggestions for future topics for the publication and the Annual Meeting program.

Patricia A. Thrash
Director of the Commission
on Institutions of Higher Education

CHAPTER I

THE NEW GENERAL INSTITUTIONAL REQUIREMENTS

Changes in General Education Requirements for Vocational-Technical Institutes and Business Colleges

Joel Goldberg

The evaluation of the general education components at vocational-technical institutions and business colleges, as expressed in the present or past set of General Institutional Requirements, presented a difficult task for both the on-site evaluator and the administration of the institution being evaluated. There are some basic reasons for this difficulty. Among them is the problem of identification of the specific courses considered to be general education. This, of course, differs between institutions and also among evaluators. The standards for this, as established by the Commission on Institutions of Higher Education, have been rather vague. Early in 1987, the Policy and Planning Committee of the Commission asked the staff to prepare a paper showing how vocational-technical institutions and business colleges were handling the general education requirements at that time and what the Commission should expect from institutions applying for accreditation.

This presentation will provide information about how and why the modifications in general education requirements occurred. It will also identify the new changes that are now in effect. The speakers will provide information as to how these changes will affect educational programs now in existence and programs planned for the future. The presentations will discuss the effect of the changes on evaluations of both member institutions and those institutions wishing to become members of NCA/CIHE. The presentations will also provide information directed toward specific program syllabus review during the on-site visit.

The development of the changes in the general education requirements occurred after responses to a questionnaire from the Commission on Institutions of Higher Education. Many of the respondents to this questionnaire expressed their concern as to how specific courses in general education could be included in programs providing certificates or Associate degrees when the total program offering was less than two years in length. A particular concern was expressed for the ability to include specific courses containing general education components in short courses, often about six weeks or so in length. Most of these courses were provided by vocational-technical institutions and business colleges. In many instances, these institutions indicated that general education offerings were incorporated as a part of other courses. These offerings were

---

Joel Goldberg is Professor of Mechanical Technology, Macomb Community College (MI)

identified as "related studies" in the courses. Often it was difficult to extract the specific amount of general education/related studies from the basic course of study. The study also found that educational programs two years in length are able, for the most part, to develop and present discrete courses of general education.

These concerns over how to establish a reasonably consistent form of evaluating the general education components in curricula led to the solicitation of responses from NCA member institutions. Many of the responses suggested that a change in the description of the general education requirements be addressed. The specific area of major concern was identified as a part of General Institutional Requirement Two (GIR 2). There are two distinct components in this requirement. One states that institutions must have educational programs consistent with the mission of the institution. Vocational-technical institutions and one- and two-year business colleges seem to have little difficulty in meeting this requirement. They do have trouble meeting the balance of this requirement, the portion relating to general education. In addition, the *Handbook* published by the Commission appeared to need clarification in its description of methods of meeting the general education requirements.

A revision of the general education requirements as they related to vocational-technical institutions and business colleges occurred as a result of the responses to the CIHE questionnaires. The modified GIR 2 is now presented as essentially speaking only to the general education requirements of the Commission. GIR 2 is subdivided into six categories. Sub-part f. speaks to the general education requirements for persons typically involved in vocational-technical and/or business school curricula. These modifications include statements identifying the need for general education in undergraduate certificate and diploma programs two or more academic years in length. These programs should provide for more than the immediate vocational needs of the student. Usually programs of this type have a very strong vocational component. Because of this strength, programs such as these must have general education and related instruction. A combination of general education and related instruction may be utilized to provide the required broadening. "Related instruction" is identified from its usage in vocational-technical educational programs:

> *instruction broadening a curriculum beyond purely vocational purposes, but closely associated with these purposes.*

The general education components are often incorporated directly into the vocational courses. This type of instruction usually provides for the development of knowledge and skills in language, mathematics and human relations.

This is a substantial deviation from the general education requirements previously identified by the Commission. The revised definition of the requirements will clarify the Commission's position and should make the work of the on-site evaluation team much more consistent. This clarification will also aid institutions preparing for initial evaluation or ongoing review in developing and presenting the general education components of all programs. Information provided during the presentation should clarify the issue of "general education" requirements for NCA/CIHE member institutions.

General Education/Related Education

Susan Murphy

Of the new General Institutional Requirements passed by the NCA/CIHE in August 1987, none has stirred as much interest and controversy as #2e relating to the requirement of general education in certificate and diploma programs. The *proposed* GIR would have required a general education component in such programs of one or more years in length. However, the GIR as it was *passed* changed the ruling so that it affects only those programs two or more years in length. Since all institutions seeking continued accreditation are subject to the new GIRs as of July 1, 1988, we need to get on with the business of implementation.

The institutions most concerned with this change are the two-year schools—vocational/technical or community colleges. What is a reasonable response to this requirement? How can instruction in language, mathematics and human relations be developed best and integrated in a fashion that does not compromise the job skill focus of four-semester programs? The possibilities we will explore are alternatives that not only fulfill the intent of the new requirement but also can creatively support and strengthen occupational certificates and diplomas.

- Use existing liberal arts courses in your institution and add them to the curriculum (English, Math, Social Science).
- Design new Liberal Arts, English, Math and Social Science courses that can be used by **all** occupational programs.
- Design the required courses as related education and house them in the individual occupational departments.
- Integrate the required language/writing, computational and human relations skills into the curriculum design of occupational/training courses.

In all cases, visiting teams after July 1988 will need to verify compliance with this regulation. Proof that such instruction is included in the programs should be evident from catalogue material or available syllabi.

Susan Murphy is Dean of the College Division, Albuquerque Vocational Technical Institute (NM)

What Does the Commission Expect from the Institution's Governing Board?

Jane F. Earley

The new requirements underscore the charge to governing boards for integrity in establishing and reviewing policy. Not only do governing boards bear the legal responsibility for the institution, in almost every case they represent the public interest. Discussion in this session will deal with the ways in which the accreditation process helps focus issues in the practical relationship between boards and the campuses. A question prior to the title query will also be considered: what do the boards and campuses expect of each other?

Boards set and monitor policy, but within that large area they exhibit a range of behaviors which campuses may view as intrusive or aloof. Some boards convey a disinterest in everything except finances; this lop-sided attitude is evidenced in everything from committee assignments to relative position and timing of items on meeting agendas, as well as in board member and employee conversations. Conversely, some boards are seen as overstepping their role and trying to make daily administrative or faculty decisions; an example might be the board that wants to review each publication of candidates for promotion or wants the names and credentials of all applicants for a vacant faculty position—even when there is every evidence that policies and procedures are being followed.

Board behaviors also change with the tenure of individual board members and take on personalities of the current leaders within the boards. This is no different from the local campuses which sustain enduring images but undergo some "personality" changes under different and dynamic administrative leaders. The session will raise some questions about paradigms of leadership which affect both board and campus expectations and behaviors: these must be taken into account by the Commission in any discussion of the work of boards.

In addition to consideration of the Commission's expectations for day-to-day, month-to-month, year-to-year relationships between boards and campuses, campuses will want to examine Commission expectations for board involvement in the accreditation process, looking at such questions as these:

- At what point does the board become involved in the process?

Jane F. Earley is Dean, College of Arts and Humanities, Mankato State University (MN)

- How are board members or the board as a whole made aware of the history and importance of voluntary accreditation?
- How does the board participate in the self-study process?
- How does the board participate in the visit?
- How do members not directly involved learn of the process and outcomes?
- How does the board become involved in addressing the findings of the visiting team and the ultimate decision regarding accreditation?
- How does the board become aware that a consciousness of the standards of accreditation must be an on-going and discussed concern for both board and campus, rather than a periodic event dealt with in a concentrated time frame and forgotten or ignored for years in between?

Boards may need to give thoughtful consideration to the question of public representation as that relates to individuals in protected classes, both in terms of membership and agenda issues.

The Role of the Faculty in Program Development

Frederick Crosson

The General Institutional Requirements of the Commission enumerate the eligibility requirements which an institution must meet in order to be considered for accreditation. They may be viewed as characterizing or circumscribing the set of accreditable institutions, and a school applying for candidacy, for example, must therefore meet the GIRs when applying, although it may not yet fully meet the Evaluative Criteria which govern accreditation. And of course schools which have already been accredited must continue to belong to the class of accreditable institutions, i.e., must continue to meet the GIRs.

In the recent revision of the General Institutional Requirements which the Commission on Institutions of Higher Education proposed to its members for approval, the language, the grouping and the focus of the various Requirements were significantly changed. Among other components, the role of the faculty in the genesis and review of the educational programs is singled out. GIR 3d. states that the faculty as a body must be significantly involved in the determining of program development and oversight.

As always with any kind of requirement, clarification of just what is intended by the language used and what constitutes meeting it is in order. But there is a larger and more important way to think about the requirement. The concern of the Commission, in this as in the other requirements and criteria, is not to act merely as a certifying agency but to encourage the establishment of structures and practices which will help to improve the quality of higher education in the North Central region. We need to turn the requirements to our benefit, to think how they can help us in the tasks which confront us, and not to think of them as constraints from outside.

Perhaps the most profitable way to think about this requirement is to pose the question in its general form: what is the best way for this institution to utilize the capabilities of the faculty (however this body is composed or identified) in determining and in improving its educational program? It will be useful to distinguish a number of distinct elements that must be addressed in thinking through an answer to this question. Different but interrelated issues are: the stages of initiating and reviewing programs,

---

Frederick Crosson is Cavanaugh Distinguished Professor of Humanities, University of Notre Dame (IN) and CIHE Executive Commissioner

the scope of faculty responsibility, the way in which it is structured or organized, the force of its conclusions, and the schedule of monitoring.

Each of these elements needs to be expanded into options and reasons, as well as the implicit correlative of the whole issue, namely the role and responsibility of the administration in this area.

CHAPTER II

OVERVIEW ON THE GENERAL INSTITUTIONAL REQUIREMENTS AND THE INTERRELATIONSHIP OF THE EVALUATIVE CRITERIA

Overview on the General Institutional Requirements and the Interrelationships of the Evaluative Criteria

For Representatives of Vocational-Technical Institutes

James S. Biddle

The accreditation process, while complex, begins with the basic questions of who should be evaluated and against what criteria that evaluation should be measured. While most of us feel secure in saying what kind of institution we represent, the answer to that question is not clear in all cases. There are obvious advantages of membership in the Commission on Institutions of Higher Education and the request for membership is institutional based so a definition is needed to separate institutions eligible for membership from those that are not. This definition must be descriptive, but not overly restrictive. In addition to separating postsecondary institutions from the rest, the definition should provide a basis against which progress, service, and quality can be measured.

This definition is the basis of the General Institutional Requirements (GIRs) adopted in their present revised form in August 1987. An institution affiliated with the Commission must meet the requirements of the GIRs. Its progress as an institution and ultimately its affiliation with the Commission will be measured by four Evaluative Criteria.

The accreditation process begins with a member of the Commission staff serving as a consultant to help the institution in the initial step of fitting into the GIRs. The process continues with the institution developing a Self Study which describes in detail how the GIRs are satisfied and how the Evaluative Criteria can be applied to the institutional experience within that framework. A team of consultant evaluators certify the process and provide the Commission with their judgment as members of peer institutions. The whole process is dynamic in that all principals should benefit from the experience. The institution especially should regard this as a positive process and even be inspired to be critical and expressive about their part of this experience.

James S. Biddle is President, Lima Technical College (OH)

The General Institutional Requirements are organized into five sections. Each deals with different aspects of the definition of a postsecondary institution. The GIRs are summarized here for discussion and convenience. For a complete and accurate statement consult the new edition of *A Handbook of Accreditation* by the Commission on Institutions of Higher Education.

Mission and Authorization

> There must be a formally adopted and public statement of mission that is appropriate to an institution of higher education. There must be recognition of program completion that is based in legal authority and the institution must be authorized to operate wherever it conducts activities.

These requirements, while basic, begin the process of identifying appropriate institutions. Evaluative Criterion One deals specifically with the institutional mission.

Educational Programs

> The educational programs must be compatible with the mission, and they must be appropriate to a postsecondary program. At least one program must be equivalent to two academic years in length, and there must be general education that to some extent is separated from the vocational-technical program content. A recognition must be granted that is appropriate to the achievement attained.

These requirements must be specifically descriptive and purposely vague. The requirements must not stifle institutional creativity and at the same time must prevent the erosion of programs away from the traditional postsecondary descriptions. It must be clear that simply enrolling adults does not make an institution postsecondary.

The general education component is often troublesome for vocational-technical institutions because the roots of this development are in secondary schools and some programs are not far removed from that curriculum. The attitude and approach to the general education offerings is often a good indicator of the philosophical alignment of programs.

Institutional Organization

> There must be a legal, attentive governing board with individuals who represent the public interest. The board must designate a chief executive officer to administer the institution, and there must be a faculty qualified by education and experience with significant involvement in the design and delivery of the educational programs. Further, admissions policies and practices must be appropriate to the educational programs and conform to the institution's mission.

These requirements certify that, no matter who governs the institution, there is a public interest in postsecondary education.

There must be a board that is legally described and involved in the governing of the institution. The requirements are inclusive rather than restrictive. These requirements recognize the importance of the faculty in the educational process and require that as a recognized group they are qualified and involved in the dynamics of the educational process. Finally, there is a call for basic integrity in the purposes for which students are enrolled.

Small vocational-technical institutions located in areas of limited resources are often tempted to employ a disproportionate number of part-time faculty, thus limiting their potential for compliance with these requirements. Consultant-evaluators will look very closely at institutional compliance with the spirit of these requirements.

Financial Resources

> The institution must have financial resources sufficient for its purposes and they must be audited regularly, externally and by a certified public accountant or by a state audit agency.

Evaluative Criterion Two deals specifically with financial resources as well as other institutional resources. The institution has a basic responsibility to permanence in the protection of the public interest as well as the student interest. This basic requirement will not guarantee that permanence but does provide a foundation for it.

Public Disclosure

> The institution must have a policy toward openness that makes known, accurately and frequently, information on its educational programs, policies and procedures directly affecting students, charges and refunds, the academic credentials of its faculty and administrators, and upon request, accurate information about its financial resources.

An institution regardless of its charter or ownership operates in the public interest and must have the confidence of its clients and the people it serves. Evasiveness in this regard can be very damaging to that trust and must be avoided. The form of the institutional response to this requirement is not directed by the Commission.

In order to be accredited, an institution must meet the General Institutional Requirements and satisfy four Evaluative Criteria.

1. The institution has clear and publicly stated purposes, consistent with its mission and appropriate to a postsecondary educational institution.

2. The institution has effectively organized adequate human financial and physical resources into educational and other programs to accomplish its purposes.

3. The institution is accomplishing its purposes.

4. The institution can continue to accomplish its purposes.

The Evaluative Criteria are clearly interrelated and clearly tied to the General Institutional Requirements. Since Evaluative Criterion One is the only criterion that refers to mission, this is the only place that vocational-technical institutions would differ from other Commission-affiliated institutions.

The institutional self-study is the institution's view of its place in the relationship of the GIRs and the Evaluative Criteria. The format of the self-study is not prescribed by the accreditation process. While guidance for developing the self-study may be taken from Commission documents or from the experience of other vocational-technical institutions, some creativity may be the most appropriate approach. No institution is expected to be perfect, but neither is it expected to be ignorant of its own strengths and weakness. As a document, the Self-Study Report should be creative, honest, and persuasive. As a process, the self-study should be pragmatic and help the vocational-technical institutions in their developmental process.

Overview on the General Institutional Requirements and the Interrelationships of the Evaluative Criteria

For Representatives of Two-Year Institutions

Nancy C. DeSombre

With the comprehensive missions and purposes established by law for most community colleges, the organization of the Self-Study can be a basic and perplexing problem. Although the Commission specifically spells out the requirements and the criteria in a linear fashion, the criteria do not stand alone as separate elements. Consequently a college must determine the organization that best reflects its evaluation process and need not organize around the terms of the four separate criteria.

General Institutional Requirements

The thirteen General Institutional Requirements were revised this past year and the new requirements will take effect in July 1988. From the thirteen requirements grouped under the headings of Institutional Programs, Organization, and Operation and Public Disclosure, the Commission has now established five classifications—Mission and Authorization, Educational Programs, Institutional Organization, Financial Resources, and Public Disclosure—with a total of twenty-one specific requirements.

These changes have led to a greater degree of specificity in addressing some of the requirements. For example, the Commission has listed specific requirements for the college catalog which include the academic credentials of the faculty members and administrators. And the roles of faculty and governing boards are spelled out in the requirements.

The requirements differ from the Evaluative Criteria in that they are not judgmental areas. An objective determination is necessary as to whether or not the college meets these requirements. Since the Commission requires institutions to address the General Institutional Requirements in the Self-Study Report, the new Requirements should be

---

Nancy C. DeSombre is Dean of Instruction, Wilbur Wright College (IL)

reviewed with special care. Most of the GIRs can be addressed quickly by providing specific information or by referring the reader to where the information can be found in other institutional documents. The visiting team is asked to confirm that all the Requirements are met.

Evaluative Criteria

The four Evaluative Criteria can be best envisioned as an interlocking chain that affects all operations on the campus.

Criterion One states, "The Institution has clear and publicly stated purposes, consistent with its mission and appropriate to a postsecondary institution." Although the mission and purposes are addressed in this first criterion, the mission exists as it operates within the college. The public statement and its operation are inextricably intertwined, and they need to be evaluated within this context. It is not sufficient to state the mission and purposes; the college needs to indicate that it understands the difference between mission and purposes, that it has evaluated its mission and purposes statement to determine if it is clear, consistent, and appropriate. To determine the appropriateness of its purposes, the college must determine the needs of the community it is serving and the community it will be serving in the future.

In using any one of the criteria to evaluate the college, all the criteria will function together. Needs assessments are necessary to determine if the purposes are appropriate to the community and then if the programs developed are accomplishing their purposes. The clear aspect of a mission and purpose statement depends upon the constituency as well as upon the statement itself. If the college and the community understand the mission and see how the component parts fit into the purposes of the college, then the mission is functioning and can be expected to do so in the future.

In the second criterion, "The Institution has effectively organized adequate human, financial, and physical resources into educational and other programs to accomplish its purposes," the operative words are effectively, adequate, and accomplish. Although the criterion addresses the resources, the evaluation is often determined within the context of accomplishing the mission and purposes and in being able to continue to accomplish these purposes. The four criteria again function together.

The third criterion, "The Institution is accomplishing its purposes," is often considered the outcomes criterion. But when the college measures its various outcomes—the transfer rate and the transfer success of its students, the graduation figures, the employment placement and success rate of graduates or course takers, the accomplishments of its short term programs—how are these outcomes related to the purposes of the college, and are the resources adequate for the college to continue to provide these programs in the future? This criterion incorporates the other three as it proves that the resources are adequate, are effectively used to carry out the purposes, and can be expected to continue to provide the education and services the college has established.

The fourth criterion, "The Institution can continue to accomplish its purposes," is usually referred to as the planning criterion, but that title limits the scope of this

evaluative concern. Accreditation depends upon continuation of the resources and the appropriateness of the mission as well as the accomplishments in expecting the college to continue to deliver its services to the community.

It is practically impossible to determine whether an institution is fulfilling the requirements of one criterion without considering all four at any given point. All four criteria are involved in every aspect of the college.

If all the criteria are totally interlocked in a never ending chain, how can a college begin to organize a Self-Study to evaluate its efforts? The college needs to determine its own organization and then indicate how each unit addresses the needs of the Evaluative Criteria either separately or as part of a unit according to the college plan. When team members visit the campus, they characteristically concentrate on the individual units defined by the college and look for evidence of all four criteria within each unit. Is the unit incorporated within the mission and purposes of the college? Does it have the resources necessary to accomplish its purposes, and can it be expected to continue to do so? Has the college evaluated the effectiveness of this unit? Does it see any problems, and if so is it addressing the concerns?

Although each criterion will be addressed separately in the final team report prepared by the visiting team, the criteria are never examined independently of each other during the visit. It would be impossible to do so. The Self-Study helps to organize the visit in the mind of the team as it seeks to view the college as you have presented it.

Overview on the General Institutional Requirements and the Interrelationships of the Evaluative Criteria

For Representatives of Graduate Institutions

John E. La Tourette

Introduction

In the self-study process and report, the four Evaluative Criteria are a useful guide to describing and evaluating an institution, in conjunction with its stated objectives, from both the historical and prospective dimensions. In addressing the General Institutional Requirements and the interrelationships of the Evaluative Criteria for graduate institutions, however, it is important to recognize that "research" or "doctoral" institutions, as designated by the Carnegie Foundation, generally have multifaceted missions. This is frequently recognized in mission statements by reference to the three basic functions—teaching, research, and public service. Actually, the mission of a "research" or "doctoral" institution is even more complex than what the three functions imply because the faculty and staff who carry out the objectives of such institutions typically are involved concurrently in more than one of these functions, and, in many cases, the functions themselves are not separable. Advanced graduate instruction usually is closely related to faculty and graduate student research efforts. Clinical experiences in many fields, even at the undergraduate level, not only offer an apprenticeship experience but also provide a public service to the external agency and a research opportunity for the faculty supervising the activity. Moreover, each unit within the university has a unique interpretation of its role in the overall mission and its contribution to the three basic functions. Thus, the self-study process not only requires the graduate institution to deal with an interrelated set of Evaluative Criteria but to describe and evaluate an organization, with a complex set of objectives, in which each unit has a different interpretation of its teaching, research, and public service functions and how they are to be delivered.

John E. La Tourette is President, Northern Illinois University (IL)

There are many different ways to approach the self-study process or report. Although the four criteria provide a useful conceptual framework, they do not necessarily provide a means by which a multifaceted institution can be described, let alone be evaluated, across the wide range of instructional, research, and public service activities found at a "research" or "doctoral" university. Moreover, visiting teams typically approach institutional evaluations from the unit level—the department, the college, or the division—in order to arrive at an overall assessment. Thus, from this point of view, the organization of an institution is as important as its mission and the functions it performs. These considerations suggest that considerable thought be given to the self-study process before it is initiated. The primary functions which are reflected in the mission of the institution need to be described and evaluated, the specialized organizational arrangements established to accomplish the goals and objectives should be identified, and the means by which at least the major units contribute to the overall mission must be recognized.

It may be impossible for an institution to organize the self-study around the four criteria and deal adequately with a multiple set of functions and a complex organization. In fact, there are many ways to blend the functional, organizational, and criteria approaches. Each institution should be free and should be encouraged to use the approach which best suits its own situation so long as there is sufficient documentation provided to satisfy each criterion.

Criterion One: "The institution has clear and publicly stated purposes, consistent with its mission and appropriate to a postsecondary educational institution."

Because of its comprehensive character and multifaceted mission, the statement of mission and purposes for a "research" or "doctoral" institution is likely to be rather broad and highly general in character. Thus, it may be difficult to link the statement of mission and purposes to the activities which the institution is required to describe in the self-study or which the members of the visiting team observe and evaluate during their site visit. The point here is whether the statement has been operationalized so that one can determine if the purposes are clearly stated and consistent with the teaching, research, and public service functions which are evaluated by the other three criteria, but particularly by number three—"the institution is accomplishing its purposes." Looking at the process from the perspective of the individual unit may permit more specificity, as well as allow a more precise relationship to be established between mission and purposes and the organization of the institution. This is recognized explicitly in the NCA *Guide to Self-Study for Commission Evaluation* in which it is suggested that "each major unit or division may have a statement of purposes consistent with the mission of the larger institution." The functional approach also provides a means by which the institution may demonstrate that it has a clearly stated set of purposes. In this case, the mission and purposes may be augmented by a statement of objectives which articulates the institution's primary goals and programmatic objectives based on their impact on instruction, research, and public service.

One of the objectives of having a well-defined set of institutional goals and programmatic objectives is to establish a basis for demonstrating in the evaluation process that the institution is accomplishing its purposes. The NCA *Guide* clearly links Criterion One and Criterion Three—"It is not enough to demonstrate clarity and appropriateness of purpose or adequacy of resources and organization; the institution must be able to demonstrate positive results as well." And again, "Each stated purpose implies a set of results to be obtained."

It is frequently argued that Criterion One is not as important as Criterion Three for a long-established institution and that the visiting team will "know" what the mission and purposes are if the self-study is well written. One wonders what a visiting team is to evaluate if institutional goals and programmatic objectives are not clearly specified under Criterion One to provide the basis for the evaluation carried out under Criterion Three. Moreover, without a statement of objectives for the future, how is the visiting team to judge Criterion Four—"The institution can continue to accomplish its purposes"?

Criterion Two: "The institution has effectively organized adequate human, financial, and physical resources into educational and other programs to accomplish its purposes."

This criterion requires an in-depth assessment of the resources available and the way in which the institution is organized to employ these resources to carry out its mission and purposes. Relative to organization, it is particularly important to describe how the governance, administrative, and supportive service functions operate. The visiting team will be particularly interested in how key decisions are made about such areas as curriculum, programmatic development, resource allocation, faculty, support staff, and students.

The NCA *Guide* stresses the "adequacy," "efficiency," and "effectiveness" of the human, financial, and physical resources. Therefore, this section of the self-study should establish a base for an assessment of how well the institution is accomplishing its purposes under Criterion Three. Relative to building this base for a graduate institution, it is advisable to define the resource commitments to research and public service, as well as instruction, from both internal and external sources. Descriptions of special institutional programs like faculty research grants for the summer, as well as departmental support for research through the adjustment of teaching loads, should be included. Other areas which need to be included are institutes and research centers, and interdepartmental and interdisciplinary research efforts, especially those which are unique and bring distinction to the institution. Many graduate institutions also have extensive public service operations, including off-campus programming, continuing education, special programs for the adult learner, extension services, and technical assistance to business and government. Add to these activities athletics, study abroad programs, clinics and cooperative education, and you have a very substantial commitment of resources. It is important not to overlook these areas and, as in the case of the research commitment, to indicate how they relate to the mission and purposes of the

institution. Finally, to the extent possible, the self-study should describe the interrelationships between the teaching, research, and public service functions of these activities. For example, research in biotechnology sponsored by a center may have immediate applications in regional industry, as well as provide valuable experience for graduate students. A center for governmental studies might employ graduate students in applied research efforts which provide technical assistance to state and local government. In each case, all three of the functions are present and may be enhanced by an active partnership with business or government.

Criterion Three: "The institution is accomplishing its purposes."

This is the most essential and challenging criterion for the institution. Moreover, in most cases it constitutes the focal point for the site visit. In developing the self-study, the material presented relative to Criterion One and Criterion Two is primarily descriptive. Here the emphasis is on evaluation, and a conscious effort must be made to bring to bear all of the data available to analyze faculty and student achievements, the effectiveness of administrative and educational services, the quality of institutional life, and contributions to the larger community. Although not explicitly stated, the NCA *Guide* could be interpreted to prescribe an "outcomes " approach. With the current debate on assessment, the institution has several options from which it can choose measures of evaluating achievement or impact in the several functions.

In addressing Criterion Three, many institutions identify some significant gaps in the data base available to assess their teaching, research, and public service functions. Some departments may lack good information on the placement of their graduates, especially at the undergraduate and master's levels. The impact of research may be limited to the standard professional measure of the number of articles and books published by the faculty. Other than the number of people or businesses served, it may be difficult to assess the impact of public service activities on the larger community. The existence of significant data gaps should suggest some additional institutional research efforts to prepare for future evaluations, especially now that the accountability question in higher education is focusing more and more on "outcomes" rather than "inputs" or "process." It also is possible that the analysis associated with Criterion Three will suggest modifications in the statement of mission and purposes. Finally, problems identified by the visiting team in the evaluation may result in advice about the allocation of resources, organization, and delivery mechanisms, as described in Criterion One and Criterion Two.

Criterion Four: "The institution can continue to accomplish its purposes."

It is obvious that the extent to which an institution can accomplish its purposes in the future depends on its current performance. A high level of faculty and student achievement, the existence of an effective organizational structure, and the presence of significant contributions to the larger community are certainly the basis for an optimistic view of the future. Circumstances and environments, however, are subject to change and, in some cases, rapid change. It is important, therefore, to look at the

factors that will influence the environment in which the institution will operate in the future. These should include enrollment patterns, trends in financial support, the ability to recruit and retain qualified faculty and staff, and disciplinary and professional trends which influence the currency of academic programming. Internally, the ability of the institution and its leadership to deal with external change is an important consideration for future success. An effective institutional planning process, if in place, would give clear evidence that the institution is dealing with both the external environment and internal operations. In dealing with Criterion Four, there is no substitute for having a planning process which has continuously assessed the external environment, periodically examined the statement of mission and purposes, and, on a rotating basis, evaluated the performance of the academic programs and support services. If the process has worked well, the visiting team will find an up-to-date and operational statement of mission and purposes, a high degree of consistency between goals and objectives and programmatic operations, and evidence that the institution is already dealing with most of the problems identified in the self-study. This should lead to the conclusion that the institution will continue to accomplish its purposes in the future.

In conclusion, it is obvious that the four criteria are closely linked. The statement of mission and purposes describes the goals and objectives by which the institution is evaluated. The description of resources and organization establishes the ability of the institution to carry out its purposes. The evaluation draws on these conditions and provides an assessment of the institution's performance. Finally, a forward look predicts the institution's ability to continue or improve its performance in the future. An institutional planning process can provide an explicit structure for linking these interrelationships, thereby improving the overall self-study process and report, as well as the institution's on-going performance.

CHAPTER III

EVALUATIVE CRITERION ONE

The Central Role of Institutional Mission and Purposes

George E. Ayers

Institutional mission statements are critical for providing a clear description of the organization's "reason for being." The institutional mission is a broad and general policy statement which serves to limit the activities that are appropriate for an institution to be concerned with. The institution's purposes specify strategic activities designed to fulfill the institution's mission. Statements of mission sometimes include statements of purpose. In examining each, it becomes easier to distinguish between mission and purposes.

The relationship between mission and purposes explicates how through the evaluation process a determination can be made about whether or not an institution is accomplishing its mission. First, it is important to understand the institution's mission. Secondly, differentiating statements of purpose from the mission are important in order to determine whether or not the statement is clear and consistent with the broad goals of the institution. In examining the relationship between mission and purposes, an assessment can be made about the appropriateness of the mission for a postsecondary education institution. Judgments about appropriateness may be difficult for institutions that have unique missions.

It is important to be able to distinguish between what an institution states it does and what it actually does. These differences can be gleaned from a perspicuous institutional mission statement. Single purpose, innovative institutions will have distinctively different missions than traditional institutions with distinguished histories. The scope of programs and the organizational structure of an institution will make clear its mission and purposes.

Institutional missions and purposes are grounded in an historical context. For example, many American state colleges and universities have evolved from teacher training institutions, single purpose, to comprehensive, multi-purpose institutions offering a broad array of programs in liberal arts and sciences and sometimes professional disciplines. Understanding an institution's evolution helps to provide a perspective on what the institution's founders had in mind for the institution compared with the actual outcomes of all institutional activities. Institutional mythologies about their activities

---

George E. Ayers is President, Chicago State University (IL) and CIHE Executive Commissioner

may be different from institutional priorities. Strategies for evaluation should provide the measure of consistency between missions and accomplishments. Numerous strategies may be employed in order to make this determination.

Evaluating the role of an institutional mission and its purposes requires making judgments about what is appropriate for postsecondary educational institutions to be doing. This specific consideration may require considerable discussion. The norms of institution communities, however, dictate that appropriateness can be assessed. There may be some need to discuss the differences between postsecondary educational institutions and higher education institutions. This discussion should give rise to a greater understanding of mission differentiation among all educational institutions.

CHAPTER IV

EVALUATIVE CRITERION TWO

Assessing Financial Resources in the Self-Study Process

Harold McAninch

Criterion Two: The institution has effectively organized adequate human, financial and physical resources into educational and other programs to accomplish its purposes.

I. This criterion is not to be judged in isolation—it must relate especially to Criteria Three and Four: "The institution is accomplishing its purposes," and "The institution can continue to accomplish its purposes." The self-study should certainly discuss the financial resources in relation to accomplishing purposes and continuing to accomplish purposes.

II. Financial reports needed to show stability.

- A. Latest annual audits (past two years) and management letters.
- B. Internal budget documents—prefer at least past two years, current year and projected coming year.
  1. An analysis should show how this budget is stable and meets needs.
  2. Projections should show how the future budget needs will be met.

III. Several revenue items should be analyzed to determine health.

- A. Enrollment - how dependent is the revenue on enrollment? How stable has this been? What are projections for the future? What do local demographics indicate and have these been considered in the planning for the future? What do retention/attrition data show?
- B. What is the state funding picture? How realistic are the institution's projections on state aid? Is the institution considering all external factors?
- C. How dependent is the college on gifts for operating funds? Can these be maintained?
- D. What is the college doing in soft dollar grants? Do these support the operating budget? What contingency planning has been done in the event these dollars dry up?

Harold McAninch is President, College of DuPage (IL)

IV. Expense analysis as it relates to financial health.

A. Salary history of the college for the past three years. Projections for the future.

B. Percentages of budget that go for salaries as compared to three years ago and projections for the future.

C. Instructional supply and maintenance costs. Are these being properly maintained or is the college deferring these items?

V. How well is the institution maintaining its assets?

A. Is the plant in disrepair?

B. Does the college properly plan for major expense items in capital replacement or repair areas.

VI. Liabilities

A. Does the college run deficit budgets? If so, how does it expect to meet future needs?

B. Is there borrowing from one fund to another? Why? Does this indicate a problem down the road?

C. Does the college finance capital or equipment needs? Is the financing plan realistic? Does it unduly drain other areas of the college?

VII. Fund balances

A. Are the fund balances sufficiently strong to provide for adequate cash flow?

B. What is the mix between restricted and unrestricted funds? Operating and capital? Can the educational mission be maintained with this type of fund balance in the future?

VIII. How is budget developed and controlled?

A. Are adequate reporting structures in place to control the budget?

B. Who does the budget? How are faculty and staff involved?

IX. Is there evidence of long range planning in the budget area — usually a minimum of three to five years. The session will pay particular attention to the planning process as it relates to the budget and how this can be accomplished.

Evaluating Financial Resources

Gary Olsen

The effectiveness with which a college or university accomplishes its objectives depends upon the resources at its disposal. The way a college or university keeps track of its resources is its financial reporting system. The key person for gathering and presenting such information is the College's Chief Financial Officer.

In order to accomplish the objective of keeping track of and control over the institution's resources, the day-to-day activities of a college or university are recorded in the institution's current fund (which really consists of two self-balancing funds). However, the overall accounting system of the institution is much more complex than just the current fund. It is composed of the current fund and an additional seven self-balancing funds.

Given the complexities that go with such a system, the question can be asked, what information is needed for the Steering Committee to gather and present in order to result in a successful accreditation visit?

A good starting point for preparing for the visit is the consideration of the time period to be covered by the information to be presented. As a general rule, data should be presented for a minimum of the **past** five fiscal years, the **current** fiscal year and the projected budget for the **next** fiscal year. In addition, the current and past two annual audits and management letters from the independent and outside auditors should be obtained and made available to the team upon the team's arrival.

Key financial data that should be presented include: (1) a breakdown (in percentages) of current operations from within major revenue and expenditure classifications; (2) changes (in dollars) in the current fund balances of both the restricted and unrestricted funds; (3) contribution ratios; (4) demand ratios; (5) the permanent and temporary endowment fund balances; (6) income from endowments; and (7) debt service as a percent of total unrestricted current fund revenues. This information is helpful in analyzing operations and for use in projecting future budgets.

An essential tool for control and direction in the college or university is the budget. Necessary here is a quick summary of the budgeting process including who initiates

---

Gary Olsen is Professor, Department of Economics, Business Administration, and Accounting, Carroll College (WI)

budget requests, the role of the Governing Board of the institution and feedback to various budget centers. Closely aligned with the explanation of the budget process is an explanation of cash management in the institution both on a daily and long term planning basis.

Affecting the current financial status of the institution is maintenance. There should be a written plan for both maintenance (current and deferred) and for major construction projects.

Evaluating Educational Support Services: Libraries, Labs, ?

Sister Katherine Delaney, O.S.B.

In the course of the self-study process, an institution is asked to address Evaluative Criterion Two: "The institution has effectively organized adequate human, financial, and physical resources into educational and other programs to accomplish its purposes."

The most obvious and most essential issue of Criterion Two is the adequacy of the academic program at a given institution. But, in addition, there are several educational support services that have a direct and sometimes drastic impact on the adequacy of the academic program. These support programs, such as library services, laboratory programs, learning resource center services and computer services, to name a few, need to be evaluated in order to gain a comprehensive view of the effectiveness and adequacy of the resources of an institution.

Standards by which to evaluate the adequacy of educational support services are available from external agencies. A brief review of some of the external norms will be presented.

But external standards need to be supplemented by internal standards that will apply specifically to the institution that is conducting its self-study. These internal standards or norms will flow directly from the mission and goals of the particular institution. Special attention will be given in this session to the formulation of an evaluation system of educational support services that relates to the particular mission of an institution.

Particularly in relation to newer technological and information systems, many institutions will have to develop their own working definitions of adequate educational support facilities. Computer services are in many institutions an essential component of educational support. For this reason, a walk-through model for the evaluation of computer services will serve as a working model for the evaluation of other educational support services.

The model for the evaluation of computer services will address the following elements:

I. Basic Information

   A. How are computer services related to the mission and goals of the institution?
   B. How does the institutional strategic plan incorporate computer services?

Sr. Katherine Delaney is Acting President, Benedictine College (KS)

C. What is the governance or administrative structure of the computer services program?

D. What are the qualifications and workloads of computer services personnel?

E. What are the functions of the computer services program?
   1. Academic
   2. Administrative

F. What is the institutional budget for computer services?
   1. for salaries
   2. for hardware
   3. for software
   4. for supplies
   5. for maintenance

G. What is the ratio of students to mainframe terminals, to institution-owned personal computers?

II. Relatedness of Computer Services to Academic Programs

A. Course requirements by division: humanities, arts, social and life sciences, education and professional

B. Adequacy of computer facilities to respond to course requirements

C. Adequacy of faculty to meet institutional goals relating to computer services

D. Degree of correspondence between student computer-related needs and institutional responsiveness to those needs.

III. Judging the Impact of Computer Services Program

A. Student Attitudes

B. Student Use

C. Purposes for Student Use
   1. word processing
   2. programming
   3. games
   4. data analysis
   5. on-line searches
   6. storing personal records

D. Student Satisfaction

IV. Drawing Conclusions About the Adequacy of Computer Services

This model will have applications for other educational support services. It is only when educational support services have been evaluated that a comprehensive view of the entire educational program at an institution can be achieved.

Defining and Evaluating Student Services in a Residential College

Vernon V. Mai

Introduction

The NCA documents for Criterion Two provide for the analysis of effective organization of human, financial and physical resources into educational programs to accomplish its purposes. This presentation will relate the student resources to the student services program and evaluation for the college self-study. The data in the self-study should provide the validation of those resources for the visiting evaluation team.

Defining Student Resources

The first step in defining and evaluating student services is to determine the student resources that the institution is serving. That will require identifying the clientele—more specifically, the major populations that are enrolling at the institution. This will include the age levels, whether they are primarily high school graduates or non-traditional age groups, and the identification of the ability levels of the entering students.

The institution must also develop, in addition to its enrolled population, a service area demographic data chart to determine population or potential students that might be served by the college. These data may also determine the areas that will require additional student services to assist in carrying out the educational program.

Evaluative Criteria

The major responsibility of an accrediting team is to determine if the college is organized with the necessary resources to implement the mission it has defined for itself. The team must also determine if the college can be expected to capably carry out the function effectively during the next several years. This workshop will address some of the major questions raised by evaluation teams in relation to the function of student services. Some of the questions addressed in this workshop will be:

- Is the student services program directed toward the institution's mission statement?

Vernon V. Mai is Dean of Student Services, Dodge City Community College (KS)

- Is there a chief student services officer who has access to the chief executive officer and other appropriate personnel to carry out that program?
- Is there a clear and publicly understood division of authority and responsibility to carry out the student services program?
- To what extent is the student services affiliation with the rest of the college appropriately staffed and funded with supplies and equipment to carry out their program?
- Has the student services staffing and funding maintained an appropriate proportion of the budget and changed with the changes of growth within the institution?
- What kind of working relationships do the student services staff have with the faculty, student groups, with the other administrators, and affiliate institutions?
- Are they involved within the planning and the decision making process?
- Are there adequate physical resources and settings to carry out the program of student services?
- Is the admission process simple but thorough enough to provide the data required for the institution?
- Is the individual advising and/or academic counseling available to the students in a systematic approach that provides accessibility to them in a logical sequence of steps?
- Is financial aid available to the students appropriate to their needs and eligibilities, and is it administered in a way that removes barriers to their access?
- If there is a need for housing, is that need met through either an on-campus system of providing residence halls or in affiliation with off-campus agencies that makes it feasible for students who are living away from home to have a residence that is supportive of their educational goals?
- Furthermore, where housing is needed, is there appropriate food service available at a cost in line with the college setting?
- Is there a social activities program to support the development and leadership of the students in their education endeavor, and is the social activities program consistent with the mission of the college?
- Does the intercollegiate athletic program relate to the setting of the institution, and is that program supportive of the educational endeavor and in balance with the rest of the program?
- Do the students have a long-term educational program of health activities, wellness or lifestyle comparable to the institution's mission?

It is important to identify the quality of student life and their achievements. Some specific concrete data could be developed to get input from the students on their relationship in the educational endeavor. Is there an organization for students to be represented within the college administrative structure? Is there a means for them to communicate and organize their thinking in a representative fashion? Furthermore, is there a concern and process for the protection of students both with information received and released and a method of appeal for their processes within the institution?

All of the data, then, for Criterion Two should identify first of all the student resources and secondly, the services needed to meet the needs of those student resources. If this is accomplished it should set up a natural process for Criterion Three. Is the college accomplishing its purposes as established by its mission statement?

Defining and Evaluating Student Services

Burt Fettig

Student services configurations across the country may vary considerably depending upon the constituents they serve. Services developed at each institution are structured in response to identified student needs, rooted in different theoretical orientations, and are carried out within the limitations of the human and fiscal resources of each institution. Therefore, there are as many variations in delivery modes and the scope of services offered as there are institutions. Each institution must then continually make efforts to define and redefine services provided to meet the changing needs of their clientele.

What constitutes "adequate" student services at a small college serving a homogeneous clientele will probably be much different than that of a larger college serving a more diverse population. At small institutions student services personnel are likely to perform multiple functions in carrying out their daily routines. At large institutions student services personnel are more likely to be specialists assigned to particular offices, e.g., admissions, financial aid, counseling, career development, etc.

This program offering will contrast factors that come into play when defining and evaluating needed student services for two different institutions each serving a different population base. There will be complete agreement on what services are essential in some common areas of student needs. In contrast, there will be services offered by one that would be low priority or not needed by the other. The manner in which these two institutions define and evaluate their student services offerings may also differ, but they will have common elements centering on student success. Two recent publications will provide assistance to those preparing for NCA self-study. These are: 1) CAS "Standards and Guidelines for Student Services/Development Programs" compiled by the Council for the Advancement of Standards for Student Services/Development Programs and published by the Council with the support of the American College Testing Program, April 1986; and 2) "Assuring Student Success in the Community College, The Role of Student Development Professionals," A Statement of the League of Innovation in the Community College, April 1987.

The college mission guides the functions of the college as the college and the units of the college develop goals and objectives to carry out their stated purposes. Student services and specific functional areas within should have policies, procedures, and a

---

Burt Fettig is Associate Dean of Students, Delta College (MI)

description of the administrative process including an organizational chart showing the job functions and reporting relationships within and beyond the functional area. This will provide a basis for defining internally and externally the range of services provided as well as a starting point for reviewing, evaluating, and redefining services for students. Systematic attention to the review of the college mission, goals, objectives, and the programs/services provided through student services will establish a process for evaluation. Quantitative and qualitative measures can be developed from data gathered from students and other constituencies. Results of these regular evaluations will provide the basis for improving program goals, implementation of new services, and evaluation by staff, the college community, and accrediting agencies.

Staffing Student Personnel Offices in a Commuter Campus: Some Special Considerations

Dominic Martia

Campuses of all varieties must be prepared to staff their student personnel offices in a manner best suited to support and enhance the academic and service mission of the institution. Broadly speaking, student personnel will include such areas as registration and student records, student development and support, student life and, in many institutions, student recruitment, admissions and retention. In a commuter college or university the emphasis among the functions served by these areas may be very different from the emphasis at a traditional campus school. In a commuter institution, staffing in student life departments, to take one example, may be very lean. Because of complexities resulting from the diversity and quantity of transfer credit students often bring into commuter institutions, the registration and records functions may be more heavily staffed. Academic development and support may assume more importance in a commuter institution, where it is more likely that the student body will include poorly prepared graduates of inner-city high schools and community colleges. Staff in these areas would have working connections with admissions, counseling and career planning, as well as with certain academic departments such as English and Mathematics.

Commuter students generally have little time to devote to any campus-based activity outside of their studies. Developmentally, many of them have reached a stage in life at which they are expected to exercise personal autonomy. Chances are their commitments to career, family and community are at least as important as their commitment to their studies, though not necessarily by choice. For these reasons, student personnel staff should recognize and support the primacy of academic goals. They should practice a non-directional mode of assistance. They should be familiar with and sensitive to stresses from outside the campus environment.

They should be able to communicate well with faculty and to earn their confidence and trust. They should be able to adapt to practical requirements of scheduling in order to provide service at times when students are able to take advantage of it. Basic services such as records processing and course registration should be conducted in such a way

---

Dominic Martia is Vice President for Student Affairs, Roosevelt University (IL)

as to be unobtrusive, convenient and efficient. In most cases, this will require computer sophistication among staff.

The desired characteristics should accompany the appropriate professional training for each professional position. Guidelines for appropriate credentials and staffing patterns are available in the "Standards and Guidelines for Student Services/Development Programs," published by the Council for the Advancement of Standards for Student Services/Development, 1986. The Council was established by the Consortium of Student Affairs Professional Organizations. Seasoned staff who need re-training, skill upgrading or refresher training can be assisted through the professional development offerings of their professional associations. Institutional leaders have a responsibility for encouraging staff development and, within the resources available, for providing opportunities for it.

The structure of the staff will vary depending on need, institutional history, qualifications of personnel and other factors. In a commuter institution, whatever the staffing pattern, the ratio of staff to student FTE may be higher than on a traditional campus. This is because so many commuter students are part-time, making the student FTE smaller in relation to headcount than on a traditional campus. Since part-time students are more likely to be high-risk, retention policies may dictate a larger staff in relation to FTE. To ease the budgetary burden of such staffing needs, judicious use of part-time staff is an option. Fortunately, in urban centers, where so many commuter institutions are located, qualified people willing to work part-time are usually available. But a decision to employ part-time staff requires that the dean or director make a commitment to select, train, support and supervise part-time staff in such a way that their work is well integrated into the work of their full-time colleagues so that, from the standpoint of quality of service, whether a staff member is full-time or part-time will make no difference to the student receiving the service.

Institutions that serve only commuters will employ a different staff configuration in student services than will be found on traditional residential campuses. However, the differences between the two extremes of wholly commuter and wholly residential, some of which have been sketched in this presentation, do not reflect the most problematical situation, which is that few institutions are purely one or the other. Most institutions today seem to be encouraging greater diversity in their student bodies than in the past. More special groups and hitherto underrepresented constituencies are finding their places on campuses of every stripe-commuter and residential. Thus after staffing decisions have been made in accordance with the basic orientation and mission of the institution, we are still faced with the need to constantly review, adjust and refocus our staffing to respond to the changes within the student body.

Student Personnel Needs of a Commuter Campus: Evaluating Support Services

Elaine King Miller

The Evaluative Criteria are very much interrelated. Criterion two and its focus on the issue of adequacy of the institution's resources is very much related to the issue of institutional mission in the context of any discussion on the student personnel needs of a commuter campus and the corresponding academic and student support programs designed to meet those needs.

The institution must consider its purpose and goals as it relates directly to the student body which it serves. Criterion two essentially asks whether the support services are organized in a manner which is consistent with institutional purpose and mission.

Listed below are some areas for inquiry which the institution and its self-study committee might consider in reviewing the issue of adequacy in its support programs and service delivery systems.

A. Types of programs and service delivery

1. Are student support programs and resources (Career Placement Services, Disabled Student Services, International Student Services, Learning Center, Counseling Center, Health Service, etc.) offered in a manner consistent with the demography of the specific commuter student body?

2. What specific evolutionary changes have been implemented since the last NCA visit in terms of support programs?

3. What evidence exists (quantitative and qualitative) to indicate efficacy in program offerings and services; utilization of services by students, and the existence of overall planning in service delivery consistent with institutional mission?

4. What is the level of student involvement in support programs both in terms of utilization and design?

5. What outcome data exist for the population served?

Elaine King Miller is Assistant Professor, Auraria Higher Education Center (CO)

B. Institutional Commitment

1. What is the level of institutional commitment in the provision of support programs?

2. What is the level of involvement by faculty in satisfying the identified student personnel needs of prospective and enrolled students?

3. What is the level and nature of allocation in terms of fiscal resources for support programs by the institution? Are such allocations driven by FTE or headcount variables? What impact, real or perceived, can be observed by the allocation mechanism as it relates to student service outcome?

C. Institutional Vision and Resource Planning

1. Is there a mechanism (formal or informal) for periodic review of support services which is utilized for future planning?

2. What are the perceptions of faculty, students, administrators and alumni regarding current student support services and future resource needs?

3. Do existing student support programs reflect a level of flexibility and the capability to respond to changing demography, geographic, and economic trends which have implications for commuter students?

Evaluating the Often Overlooked

Georgia E. Lesh-Laurie

In constructing the institutional self-study for an upcoming NCA accreditation visit, self-study committees generally attempt to be both comprehensive and balanced in the institutional picture they portray. Despite yeoman efforts to be detached and dispassionate, self-studies not infrequently suffer from either omissions or inconsistencies of considerable significance. Self-study omissions may include generic "process" examples, such as a failure by mature institutions to address the General Institutional Requirements (GIRs), or an absence of comment on the recommendations of the previous visitation team.

Often in their zeal to develop full responses to the Evaluative Criteria, institutional self-studies neglect to mention some components of the GIRs. As these represent "requirements" of accreditation, it falls to the visitation team to take time from its schedule to determine and assess an institution's satisfactory compliance with these statements.

In the second process example given, it may have been a decade since the institution's last NCA visit and the recommendations of a team from that era may not seem pertinent to the current issues confronting the institution. Nonetheless, visitation teams will seek to verify that institutional attention has been given to the previous team's report. Thus, omission from the self-study may dilute the team's attention from present problems during its visit.

Alternatively, "programmatic" omissions may occur. These most frequently happen in academic areas where faculty control may be either periodic or peripheral in nature. For example, intercollegiate athletics, study abroad programs, off-campus instruction, cooperative education, contractual arrangements for clinical or experiential learning or for educational services, bridge programs with secondary schools, two-year campuses or professional schools, etc. The accreditation process may indeed serve institutions by enhancing faculty awareness and evaluation of these types of programs.

The NCA request for institutions to complete Basic Institutional Data forms (BIDs), in part, should assist institutions in identifying credit-bearing programs in which statistically significant numbers of students participate. For all of these programs the self-study committee accepts the responsibility to inquire how the institution ensures quality. Institutions often claim, justifiably, that conscious decision-making resulted

---

Georgia E. Lesh-Laurie is Dean of Arts and Sciences, Cleveland State University (OH)

in selection of the topics to emphasize in the Self-Study Report and those determined to be tangential or marginal to the evaluation process accompanying accreditation. In these instances it would be hoped that the self-study committee would develop criteria by which the choices were to be made, and that these criteria would be made public on campus and in the Self-Study Report.

How is it, for example, that an institution can participate with a for-profit study abroad tour operator without investigating the academic rigor of the program(s) involved? Are study abroad programs and contracted tour operators also vehicles for foreign student recruitment? How, and by whom are the credentials of such prospective students assessed? What ongoing oversight does the faculty maintain for the quality of these programs?

Intercollegiate athletics may serve as enriching experiences for students or as a mechanism to attract and maintain student bodies. They may also be major "businesses" for institutions, however, with far-reaching potential impact and probably meriting greater comment than a casual remark in the "student activities" section of the Self-Study Report.

Cooperative programs/credit-bearing work experiences, etc., also often fail to elicit explicit self-study attention, unless they constitute an integral part of an institution's mission and purposes. The recent increase in the acceptability of CEUs for licensure and certification achievement and maintenance argues for greater faculty awareness and oversight of continuing education programs. The adequacy of the academic resources (from personnel to library/computer support services) at remote off-campus sites of instruction also should be integral to an institution's academic review process. Finally, one might mention programs that require the admission of students with special types of talents, such as significant music, art, theatre or dance programs. When students are sought and recruited for talents and skills which may not be academic in nature, how does an institution try to integrate its need for these students with its primary educational mission?

Inconsistencies in an institution's self portrayal also drive teams crazy and can contribute to trivializing aspects of the visit as team members hustle to check data rather than validating assessment. The most common inconsistencies occur when what is reported in the BIDs fails to reflect what is stated in the self-study. The often overlooked described above may derive from these types of inconsistencies. The BIDs may reveal major credit hour production in programs not mentioned in the self-study. Alternatively, programs discussed at length may evidence little student involvement, inadequate resources (human, physical and/or fiscal), et cetera.

Among the strategies that may assist institutions to avert overlooking the often overlooked could be:

1. Defining, with some particularity, an institution's unique and special qualities in the introduction to the Self-Study Report. This introduction might also include the criteria used by the self-study committee in constructing the report;

2. Going beyond description in the Self-Study Report. Evaluation and assessment represent strong methods for developing a program of institutional improvement;

3. Incorporating into the self-study specific suggestions and/or proposing a plan for change/improvement.

In this session we will explore the often overlooked, using as a basis for discussion a recent NCA staff analysis of Self-Study Reports. Hopefully, we will be able to identify the importance of including these areas in the Self-Study Report and suggest how these might be done effectively and in ways that will be useful to the institution.

CHAPTER V

EVALUATIVE CRITERION THREE

Finding Appropriate Methods of Assessment: The Liberal Arts College

Eliot Elfner

Introduction

Over the past one and one-half decades, the question of college impact on students has been addressed extensively in the literature [see for instance Astin, 1978; Feldman and Newcomb, 1969; Hyman, Wright, and Reed, 1975; Lenning, 1976; Pace, 1979; and Winter, McClelland, and Stewart, 1981]. These authors demonstrated the complexity of this question which is confounded with issues of self-selection, differential incoming characteristics, and also its longitudinal nature. A further complication is differentiating changes due to attendance at college from those due to natural maturation. These are the same issues before us in Criterion Three when assessing institutional effectiveness.

Many approaches have been undertaken to determine the effect of college on students. Fundamentally, the issue has to do with the changes students undergo as a result of their experience in college. This is important to accreditation because of an emphasis on academic goal achievement [Balderston, 1974, p. 8]. Most institutions of higher education do have a mission or goals statement, however vague or ambiguous it may be [Cohen and March, 1974, p. 4]. Usually these statements include references to student outcomes. Different institutions have different ideas about what student outcomes are, and even have different priorities for them, and most still do acknowledge some degree of concern for student outcomes goals [Gross and Grambsch, 1974, p. 197]. The purpose of the accreditation process in post-secondary education is to demonstrate the achievement of institutional objectives. The use of student outcomes is appropriate in determining the level of achievement of academic goals related to student development.

The purpose of this presentation is to discuss several approaches in addressing the question of student outcomes and then suggest a model for their use in assessing institutional effectiveness. The approach of this presentation is to focus on using outcomes analysis within a single institution, rather than comparatively among several institutions. An institution can then monitor its own programs in terms of their effectiveness in achieving institutional objectives.

Eliot Elfner is Associate Professor of Business Administration, St. Norbert College (WI)

Background

For the purpose of this presentation, student outcomes are defined as changes in students as a result of their experiences during college [for other definitions, see Astin, 1978, p. 5: Ewell, 1983, pp. 3-5]. These changes can be the result of several aspects of the college environment, such as the academic, physical, or extracurricular features. It is appropriate for an administrator to determine the effects of these environmental features on outcomes defined as important by the college's mission statement. The concern of college administrators is, which specific college activities and programs enhance desired outcomes? The study of Winter, McClelland, and Stewart [1981, Chapter 5] reports research addressing this question. They found several programmatic factors related to differential outcomes within a single institution.

Only a handful of other studies have addressed the aspects of a single college environment which have an effect on outcomes. Elfner, et al. [1985], Endo and Harpel [1982], Smart and McGlaughlin [1986], and Volkwein, King, and Terenzini [1986] all demonstrated the effect of differential levels of faculty-student interaction on a variety of student outcomes. Theophiledes, Terenzini, and Lorang [1984] also reported that differential college experiences have an effect on perceived growth reported by students. These studies are of interest to the researcher/administrator of a college who wishes to make decisions regarding the allocation of resources to competing programs within their own institution. But, unless the reported studies address outcomes which are relevant to a particular college's mission, they are of little help in the planning process.

In order to more fully understand this problem, I will next present a discussion of the methodological issues facing the researcher interested in measuring and analyzing student outcomes. Then I will discuss a proposed model for using student outcomes in the assessment of liberal arts institutions.

Methodological Concepts

Pace [1979, 1985] and Ewell [1983] present discussions of the student outcomes available to the college administrator. Several standard measurement devices are discussed. Included are the NCHEMS/College Board Student-Outcomes Information Service (SOIS); the ACT Evaluation Survey Service (ESS); the TEX-IS Follow-Up System; the Cooperative Institutional Research Program (CIRP) Student Information Form; the ACT College Outcomes Measures Project (COMP); and the Pace College Student Experiences Questionnaire (CSEQ). These instruments are designed to assess specific outcomes in a standardized manner. They often have national norming data associated with them.

In addition, Ewell [1983] suggests that much of the routine student information gathered in the normal course of events can be used in assessing student outcomes. He lists sources of such information as academic departments, student services offices, alumni office, president's office, placement office, and system offices when appli-

cable. Much of this information can be organized into meaningful output about students, but it is often ad-hoc in nature. To the extent such information addresses questions relevant to institutional goals, it can also be functional.

In addition to the question of what outcomes should be measured, how they should be measured becomes an issue of concern. The standard model for addressing student outcomes presumes the use of survey research. Most research on student outcomes uses surveys. Two main approaches are available: cross-sectional and longitudinal. Data collected in either of these ways can be used appropriately by the decision-maker if the limitations of each strategy are recognized.

Astin [1978, Chapter 2] presents an "input-output" model in which pre-scores are used to predict post-scores, and the differences between actual and predicted post-scores, called residuals, are used to analyze the effects of differential college experiences. While he uses his model to analyze inter-institutional differences, this approach may be adapted to intra-institutional studies. The various college programs and activities can be used to compare differential outcomes of participants.

It is clear that the questions about assessing student outcomes are complex. But the previous discussion suggests that there are many measures of outcomes, and that their analyses are possible. In cases where colleges may have an effect on them, changes in outcomes can be assessed and attributed to certain programs and activities offered by the college. Methodological approaches are available which can be appropriately applied to outcomes studies for the purpose of assisting college administrators when allocating resources among programs. The next portion of this paper presents a discussion of a model for using student outcomes in such situations.

Assessment Process

In the assessment process, one of the most central activities has to do with decisions about how to best achieve an institution's mission. In the decision-making process, many alternative programs and activities compete for those resources. It has been suggested elsewhere [Elfner, 1976; and Ewell, 1983, pp. 6-7] that these alternatives must be evaluated with respect to two major criteria: efficiency and effectiveness. Traditionally, efficiency has been the major criterion employed in assessment. But another criterion, effectiveness, is also important in assessing liberal arts institutions. Effectiveness is defined as the degree to which an activity attains the objectives for which it was designed. Efficiency criteria tend to be more easily quantified. It is easier to count the number of faculty involved in teaching in a liberal arts general education program than it is to demonstrate student development in general education. However, the recent calls for assessment have placed an emphasis on effectiveness [see Marchese, 1987, p. 3]. Several approaches to assessment are suggested by Marchese [1987, pp. 4-7]. The assessment center perspective addresses what behavior makes a person effective, and attempts to evaluate that behavior. Components of learning can be assessed as a competency based strategy in the Alverno fashion. A third approach is concerned with program monitoring to determine how effectively the institution's

programs are achieving its educational goals. Another approach is assessing student learning and growth as a result of their college experience. Standardized testing with normed instruments is also available in an assessment program. Finally, the senior examination can be employed to assess student progress.

All of these approaches are concerned with the degree to which students have progressed toward institutional learning objectives. Accreditation also is concerned with the same issue. Criterion Three of the Evaluative Criteria speaks directly to questions about student learning. The central issues in accrediting are the institution's mission statement and the attendant learning goals and objectives. An institution can demonstrate effectiveness relative to student development if it can provide assessment data and information supporting student attainment of institutional goals and objectives. Form Three of the Basic Institutional Data Forms should be used to outline the progress of students toward institutional objectives. The many sources of information cited in the references listed with this paper suggest ways to begin. But the unique nature of an institution requires specific outcomes to be defined which are relevant to an institution's objectives. Only then can institutional effectiveness be demonstrated for accreditation, or any other purpose. The examples provided during this presentation suggest ways of beginning to meet the need for assessment.

Summary

My purpose for this presentation is to discuss several approaches to the use of student outcomes in the assessment process. I will also present some of the complex methodological issues. While I will conclude that a great deal of progress has occurred, I will demonstrate that it has been restricted primarily to the academic researcher. Most administrators have been unable to integrate student outcomes into the assessment process. With the information cited in this presentation, you should be able to begin defining assessment strategies and procedures which you can use to demonstrate compliance with Criterion Three of the Evaluative Criteria for Accreditation.

Bibliography

Astin, A. W. (1978). *Four critical years.* San Francisco: Jossey Bass Publishers.

Balderston, E. B. (1974). *Managing today's university.* San Francisco: Jossey-Bass Publishers.

Cohen, M. D., & March, J. G. (1974). *Leadership and ambiguity: the American college president.* New York: McGraw-Hill Book Company.

Elfner, E. S. (December, 1976). "Efficiency, effectiveness, and management information systems in higher education." Paper presented to the National Conference of the College and University Systems Exchange. Orlando, FL.

Elfner, E. S. et al. (1985, May). "Assessing goal related student outcomes for academic decision-making." Paper presented at the 25th Annual Forum for the Association of Institutional Research, Portland.

Endo, J. J. & Harpel, R. L. (1982). "The effect of student-faculty interaction on students' educational outcomes." *Research in Higher Education.* 16 (2). 115 - 138.

Ewell, P. T. (1983). *Information on student outcomes: how to get it and how to use it.* Boulder: National Center for Higher Education Management Systems.

Feldman, K. A. & Newcomb, T. M. *The impact of college on students.* San Francisco: Jossey-Bass Publishers.

Gross, E. and Grambsch, P. V. (1974). *Changes in university organization, 1964-1971.* New York: McGraw-Hill Book Company.

Hyman, H. H., Wright, C. R., & Reed, J. S. *The enduring effects of education.* Chicago: University of Chicago Press.

Lenning, O. T. (ed). (1976). "Improving educational outcomes." *New Directions for Higher Education.* Vol. 16. Jossey-Bass Publishers: San Francisco.

Marchese, T. (1987) "Third down, ten years to go." *AAHE Bulletin.* 40 (4). 3 - 8.

Pace, C. R. (1979). *Measuring outcomes of college: Fifty years of findings and recommendations for the future.* San Francisco: Jossey-Bass Publishers.

Pace, C. R. (1985). "Perspectives and problems in student outcomes research." in P. T. Ewell (ed.), *Assessing educational outcomes.* (Vol. 47, pp. 7-18.) *New Directions for Institutional Research.* San Francisco: Jossey-Bass Publishers.

Smart, J. & McLaughlin, G. W. (1986, June). "Outcomes assessment and the quality of student involvement." Paper presented to the 26th Annual Forum of the Association for Institutional Research. Orlando.

Theophiledes, Terenzini, P. and Lorang, W. G. (1984). "Relationship between freshman-year experience and perceived importance of four major educational goals." *Research in higher education.* 20 (2), pp. 235-252.

Volkwein, J. F., King, M. C., & Terenzini, P. T. (1986). "Student-faculty relationships and intellectual growth among transfer students." *The Journal of Higher Education.* 57 (4), 413-430.

Winter, D. McClelland, D. C., & Stewart, A. J., (1982). *A new case for the liberal arts.* San Francisco: Jossey-Bass Publishers.

What is Qualitative Evaluation? How Can It Provide Evidence of Achieving Institutional Purposes?

Yvonna S. Lincoln

I. What is qualitative evaluation? The term is often used in contrast to quantitative or experimental-design evaluation. The definitions used are important to focus evaluators on the **types of data collected** and the **uses to which such data might be put.**

- **Quantitative evaluation:** focuses on "quantitative measurement, experimental design, ...multivariate, parametric statistical analysis ... and a hypotheticodeductive methodology...which relies on the use of instruments that provide a standardized framework in order to limit data collection to certain predetermined response or analytic categories ..." (Patton, 1980, pp. 15-22).

- **Qualitative evaluation:** rests on a quite different set of assumptions, usually. Qualitative data consist of "detailed descriptions of situations, events and observations...and direct quotations...collected as open-ended narrative...in order to understand phenomena and situations as a whole..." (Patton, 1980). This form of evaluation focuses on an inductive, holistic **understanding** (rather than prediction) of the phenomena as experienced and constructed by those in the situation, on a design which emerges simultaneously with data collection, and on analytic categories which emerge from data collected.

  Qualitative evaluation, therefore, provides the "missing half" to evaluation which focuses on such quantitative data as enrollments, budgets, numbers of library acquisitions, physical plant expenditures, number of tenured faculty/ student ratios.

II. What are the strengths of qualitative evaluation?

The real strengths of such forms of evaluation are that qualitative data allow evaluators to go beyond "hard" data, to look into the meaning of quantitative data and figures to those who are often less concerned with it: faculty, students, and some kinds of administrators. Qualitative data allow glimpses into the **meanings**

Yvonna S. Lincoln is Professor, Department of Educational Leadership, Vanderbilt University (TN)

and **beliefs** of institutional members who cope with the organization on a day-to-day basis.

Such data allow for accurate descriptions of organizational culture, organizational functioning, organizational life-cycles.

Qualitative evaluations also allow for the portrayal of organizational mental health.

Questions such as: How do institutional members view their chances for advancement? Do faculty members despair of renewing their departments with young faculty? How does morale enhance or impair the functioning of programs? How do external groups—legislatures, taxpayers, parents, prospective students—react to the institutional image? What is the institutional image to groups within and without the college? How students, faculty, staff and administrators frame what they believe to be institutional problems, institutional goals and institutional opportunities can only be answered with data which are qualitative; that is, with data which must be framed in the words and descriptions of those asked to share their perceptions and realities.

Such questions, and their qualitative answers, allow for examination of issues beyond budget, enrollment forumulas, and capital expenditure ratios.

Institutions are not just collections of money, buildings, and course listings. They are also, and much more importantly, groups of individuals who have come together for "common cause": learning, and the support of that search. Without understanding how they view the effort, we cannot make any successful analysis of their chances for achieving that end, however. And fiscal data only lend a part of the picture.

The **cultural realities of a given organization** are the other crucial factor in determining whether an institution is capable of achieving its purposes. Those can only be provided by qualitative evaluations.

III. How can institutional members and site visit teams collect such data? In fact, they already do:

- base much of the data collection effort on personal contacts, interviews;
- utilize cross-checking of statements with others who have access to the same data;
- create opportunities to observe portions of the daily functioning of the organization;
- work as a team to put "pieces" of the puzzle together to understand the ethos of an institution.

But self-study teams could enhance qualitative evaluation

1. By providing for such descriptions and word-for-word narratives in the self-study; and

Because, finally, an institution is more than its fiscal and physical resources; because it is the product of the people in it, and of their dreams, hopes, sense of mission, frustrations, understandings and misunderstandings; and because all the resources in town won't move an institution where its members believe it is going nowhere; qualitative evaluation plays a crucial role. It enables site visit team members—and likewise, self-study team preparers, to sense the pulse of an organization, to look for its (human) vital signs, and to describe the condition of the body politic as seen by its members.

The Challenges of Selecting Appropriate Instruments to Measure Outcomes

Mary J. Fehr

Selecting appropriate instruments to measure outcomes of the postsecondary educational process has historically been a challenge. This was true whether the results were needed for the purpose of student or graduate counseling, for curriculum evaluation, or in an effort to demonstrate in a Self-Study Report for North Central accreditation that the institution has met Criterion Three.

This paper will describe a multi-measure initiative of Educational Testing Service (ETS) and/or its clients which is designed to help colleges meet the challenge of higher education outcomes assessment. In response to the growing emphasis on outcomes assessment and to the increasing and varied requests from institutions for assistance, ETS and several of its clients are developing 1) the ACADEMIC PROFILE (with The College Board)—a new assessment tool for general education, 2) the MAJOR FIELD ACHIEVEMENT TESTS (with the GRE Board)-a set of tests developed to assist in the assessment of outcomes of undergraduate education in specific disciplines, and 3) the ITEM BANKING PROJECT—a flexible assessment service that will give greater faculty control over item selection for assessing undergraduate student outcomes, also in specific fields. In addition, The College Board has developed the Education Assessment Series as a part of its College Level Examination Program to provide an alternate means to general education outcomes. Each of these college-level tools for measuring student outcomes will be described in terms of applicability to institution and level of student, and instrument flexibility and options.

The Academic Profile

The Academic Profile is a new test of general education jointly developed by Educational Testing Service and The College Board. It was field-tested last spring. The Academic Profile is intended to measure academic skills (college level reading, college-level writing, critical thinking, and using mathematical data), in the context of three major academic areas (humanities, social sciences, and natural sciences). Conceptually, the Academic Profile is a matrix with four skill dimensions on one side and three academic areas on the other. The design embeds skills within the context of the academic areas, and makes the Academic Profile both flexible and powerful. It

---

Mary J. Fehr is Director, Midwestern Field Service Office, Educational Testing Service (IL)

should provide a great deal of useful information that can be related to an institution's instructional programs.

The Academic Profile assumes that students have completed the courses necessary to fulfill general education or core curriculum requirements at their institutions. It does not, however, assume that students have taken specific courses in the three areas. The questions do not ask for "recall knowledge;" rather, they call on the skills students have developed through study in the humanities, social sciences, and natural sciences. It is appropriate for use by both two-year colleges and four-year colleges and universities.

There are two versions of the Academic Profile—the short form (one hour of testing time), which provides group data only, and the long form (three hours of testing time) which provides individual scores and group data. Colleges may choose to administer either or both, depending on how they wish to use the results.

The one-hour form. The short form of the Academic Profile has 48 items to be answered in one hour of testing time (16 items in each of the three academic areas and 12 items for each of the four skills areas). Results of the short form (seven subscores plus a total score) will be reported for groups of students only; individual scores will not be provided.

Three one-hour forms of the Academic Profile are "spiraled" for distribution to the students being tested. Spiraling simply means that the three forms will be packed for administration as: Form A, Form B, Form C, Form A, Form B, Form C, etc. For any group of students, therefore, a random third is taking each form of the test. In the scoring process the three forms are "reassembled" and scores reported for the 144-question test (48 items in each academic area, and, for the skills dimension, 36 questions in each). Form-spiraling and the resulting group data offer considerable descriptive power and high reliability in very limited testing time.

The results of the Academic Profile for groups of students (the sophomore class, or a specific department or program, for example) will provide information to the faculty and administration to improve the curriculum or to monitor institutional programs.

The three-hour form. The long form of the Academic Profile is available to institutions that need scores for individual students. The long form has 144 items to be answered in three hours of testing time; forty-eight in each of the three discipline areas and 36 items in each of the four skill dimensions. A score report for the long form will provide both a summary of the group as a whole and a roster of individual student scores on each of the seven academic/skills areas plus a total score.

An optional 45-minute free response written exercise will be available as part of the Academic Profile. In this essay component, students review three questions (one in each of the academic areas) and then select the one on which they wish to write. This allows essay topics to be more focused and lets the student choose the area in which he or she feels most comfortable and most competent. The essays will be scored by the

institution, using manuals provided by ETS that will give instructions for both holistic and analytic scoring.

Locally written questions. The Academic Profile will contain spaces in the test booklets for responses of up to 50 locally written questions. Institutions may use this section to test students on special or unique aspects of their general education programs. It is an opportunity to tailor the test to reflect local concerns and emphases.

The Academic Profile score report. Eight scores will be reported for the Academic Profile: four skills subscores, three academic area subscores, and a total score. Information from students' answer sheets will be summarized and reported. This self-reported information will include: age, gender, employment, ethnic group, class in college, entry-level scores (if any), courses taken to fulfill general education (core) requirements, and intended or current major. Institutional information also will be summarized on the score report to aid in interpreting the results. Subgroup scores based on characteristics of groups of students (age, employment, gender, for example) also will be available.

Self-selected reference groups. Institutions using the Academic Profile will be able to select from a list of user institutions a group of colleges or universities for comparative purposes. A minimum number of institutions is necessary in any reference group to guarantee anonymity, and data will be aggregated across institutions. This enables colleges to make their own choice of appropriate reference groups if they are interested in comparative data.

Development Plan. The Academic Profile is being field tested in 1987-88 and will be fully operational in 1988-89. Descriptive and cost information will be available at the March '88 NCA Self-Study Institute.

Education Assessment Series of the College-Level Examination Program

The College Board will carry out a norming administration of two new measures of general education as a part of its new Educational Assessment Series (EAS) offered through the College-Level Examination Program. Unlike the Academic Profile which stresses academic skills tested within an academic area context, the EAS examinations stress knowledge acquired in general education courses as the basis for its examinations. Currently the CLEP offers a five-part General Education Battery, consisting of ninety-minute examinations in English Composition, Mathematics, Humanities, Natural Sciences and Social Sciences and History. The Educational Assessment Series will initially offer 45-minute examinations in English Composition and Mathematics.

The English Composition and Mathematics tests will be available for administration by institutions at their convenience and will yield individual as well as group score data. Other available services and options include both local and centralized scoring, a 45-minute English Composition essay with centralized scoring service, an item analysis service for the objective examinations, self-selected reference group comparisons, and national Sophomore and Freshmen comparative data.

Major Field Achievement Tests

Complementary to the Academic Profile, the Major Field Achievement Tests assess outcomes of instruction in fifteen (15) undergraduate disciplines: Biology, Chemistry, Computer Science, Economics, Education, Engineering, Geology, History, Literature in English, Mathematics, Music, Physics, Political Science, Psychology, and Sociology. Test descriptions with brief content outlines will be available at the March '88 Self-Study Institute. These tests are being developed jointly by the Graduate Record Examinations Board and Educational Testing Service in response to a widespread interest in appropriate, economical measures to assist departments and institutions in the assessment of the outcomes of undergraduate education in specific disciplines. The Major Field Achievement Tests are being pilot tested from March through April of this year and will be operational for the academic year, 1988-89.

Major Field Achievement Tests are based on the GRE Subject Tests, but differ from them in several important ways. First, the tests are shorter; during the pilot year, the tests will require two hours of testing time. In subsequent years, tests may be administered in as little as one hour, depending on departmental purposes. Second, the tests are intended to be appropriate for all seniors majoring in a field, not just those who are planning graduate study. To achieve this purpose, the tests are somewhat less difficult than the GRE Subject Tests and are designed to be more reflective of the undergraduate curricular emphases. In addition, the program is being designed to accommodate administrations of the tests by and at the institution at a convenient time; administrations will not be tied to a national test date.

Institutions of higher education are participating in the pilot year of the Major Field Achievement Tests. These institutions will have the opportunity to review the tests, provide feedback on the content coverage, give input into the specification of subscores on the tests, and suggest useful reporting formats and reference groupings. Data from the pilot study will be summarized according to the Carnegie Classification.

Two-hour form. Each of the two-hour Major Field Achievement Tests has between 60 and 160 questions per test form with varying degrees of subject area coverage. For example, the Biology test consists of 145 questions equally divided among three subject areas (Cellular and Subcellular Biology, Organismal Biology, Population Biology: Ecology and Evolution) while the 60 questions on the Computer Science test are distributed unequally across five subject areas. A handout which describes subject areas and proportional distribution of items will be available for your use. Although the final format of the score report will be determined at the conclusion of the pilot year, results of the two-hour form will be reported both for groups of students and individual students. Potential uses of the data include tracking student achievement to determine gains made and use of a student's score as one part of a comprehensive battery of indices.

One-hour test and options. The one-hour Major Field Achievement Tests have proportionately fewer items across the same subject areas as the two-hour tests and will

provide only group results for the time and cost savings. Nonetheless, we envision test and scoring flexibility whereby test users could add their own items when administering the one-hour Major Field Achievement Test, perhaps to test an additional specialty content area, and use these data for program improvement. Results on institution-specific items would be reported to the institution but would not be included in the scores from the Major Field Achievement Tests.

The Item Banking Project

The item banking project under development at ETS, like the Major Field Achievement Tests, is directed to the assessment of student outcomes in specific disciplines. The objective of the project, funded by the Fund for the Improvement of Post-Secondary Education (FIPSE), is to develop a series of item banks in specific disciplines, beyond those covered by the Major Field Achievement Tests, which will offer college faculty the flexibility of choosing test questions. Faculty using an item bank will be able to choose from a large pool those test questions which best reflect the local curriculum.

When completed, the Item Bank for Outcomes Assessment will provide, for a specific discipline, a collection of 300-400 test questions developed by college faculty from many diverse institutions. The test questions will have been reviewed and edited by the professional staff of ETS. Items will be tried out (pre-tested) at participating institutions, and item statistics will be provided with the items.

The item bank will be placed on a personal computer diskette and made available along with a software package for test assembly, on a subscription basis, to institutions to create their own end-of-program examinations. One unique feature will be a comparison block of items, which, if used by institutions, will enable ETS to provide comparative data for that portion of the exam.

The development process. Successful development of Item Banking for Outcomes Assessment will be a cooperative effort of many institutions of higher education. Workshops to develop test questions for an item bank will involve faculty from as many as 20 institutions for each discipline. All workshops will be conducted by the test development staff of ETS. Participating institutions provide faculty time and travel expense for participation in these workshops in exchange for use of the item bank for two years.

Development of a prototype item bank in one discipline is underway. Additional item banks will be developed as interest in specific areas is determined.

Summary

This paper has presented a brief overview of a multi-measure approach to higher education outcomes assessment. The assessment approach includes the Academic Profile and the Educational Assessment Series (EAS) for measuring outcomes in general education, and the Major Field Achievement Tests and Item Banking for

assessing specialized knowledge and skills in specific disciplines. The former two instruments lend themselves for use at the conclusion of the first two years of college, the latter two at the conclusion of academic work in specific undergraduate disciplines, typically at or near graduation. This multi-measure initiative provides flexible options for college and department faculty as they address their needs for higher education outcome measures at their institutions.

The Challenge of Developing an Assessment Program at a Comprehensive Institution

Lou McClelland

I. At a comprehensive institution

A. There are usually multiple relatively autonomous schools/colleges, and primary faculty allegiance is to these, to departments, or to national disciplines rather than to the institution as a whole.

B. There are usually mechanisms for the regular review of academic and non-academic programs.

C. Many layers of administrative and faculty organizations usually must approve significant changes in operations.

D. Research and graduate teaching are usually as or more important than undergraduate teaching.

E. As many as 25-50% of entering freshmen do not graduate, and up to half of those who do take more than four years.

F. The academic preparation of incoming students may be well above average, and a high premium is often placed on improving the "academic quality" of incoming classes.

II. In planning an assessment program for internal purposes, for an accreditation self-study, or for a state oversight board, the size, complexity, and other characteristics of comprehensive institutions listed above must be taken into account. To do this:

A. Allow lots of time.

B. Expect much disagreement.

C. Involve faculty from the start even though this will require more time and even though few will be interested.

Lou McClelland is Director of Research and Testing, University of Colorado at Boulder (CO)

D. Attempt to write the report before any data have been collected, to help users (faculty, administrators, self-study staff) visualize what they'll get and spot gaps and problems.

E. Mesh with existing review processes.

F. Push the idea of accountability—stating goals and monitoring progress—rather than the idea of assessment *per se*. Never forget that the ultimate purpose of assessment is improvement of programs, whether those programs be a general education curriculum, major requirements, academic advising, or the student health center.

G. Emphasize the importance of repeating similar assessments at regular intervals to monitor change over time, even if this means using imperfect assessment techniques.

H. In reporting for both internal and external use, control for or at least portray differences in entering classes.

I. Consider carefully whether programs are best evaluated by gathering information about graduates only, about all students who achieve a specified level (e.g., junior status), or about all students. Also consider what role transfer students will play.

J. Acknowledge multiple causality in both designing and reporting on assessments.

K. Distill experiences at other institutions. Try to find examples from institutions similar to yours in mission, student characteristics, and size; soft-pedal examples from dissimilar institutions.

L. Don't insist on identical processes in all schools/colleges. However, balance the need for different processes across schools/colleges and departments with the efficiencies in processing and reporting that come with centralization.

M. Very early, address issues of impact on/cooperation of students. For example: Will the assessment process lead to sanctions for individual students? If not, how will students' participation be insured? If by requirement, will they be motivated to perform well?

N. Involve, at a high level and consistently, faculty or staff with sufficient background in the scientific method to insure that the assessment process actually yields information useful for evaluating programs.

O. Don't be afraid to put out some results, even though incomplete, to get people talking, asking questions, and suggesting alternative interpretations.

P. Don't waste time analyzing grades. They are generally assigned "on the curve" by methods idiosyncratic to the faculty member and cannot be usefully compared over time or over courses except in special circumstances.

Strategies for Assessing the Quality of Educational Services

Alice T. Clark

The dilemma!

It's time to start your self-study. Your responsibility is to write about the "educational services." The books and papers stacked on your desk resemble the New York skyline. Computer printouts hang over every chair in your office. The walls are plastered with charts and graphs. You're up to your eyeballs in data! You have counted, collected, measured, and analyzed every item on campus. You're aware of the trends, enrollments, services, faculty, programs of study, and academic dollars from a historical, current and future perspective. You're beginning to feel a little confident about your assignment. Then you look at Criterion Three: Are the educational services "accomplishing their purposes?"

All of a sudden you feel drained. You can discuss, describe, and detail the educational services on your campus, but are they accomplishing their purposes? You realize that the data you have are mainly measures of the capacity or potential of these services to support academic programs rather than indicators of actual successful performance of that support. Two questions come to your mind:

1. What kind of information will an NCA team need to judge whether an institution is accomplishing its purpose in regard to its educational services?

2. Where does an institution get evidence to show that it fulfills a criterion?

A possible solution. . .

This session will focus on issues related to the assessment of educational services and will be most useful to already accredited institutions starting out on a self-study in preparation for a comprehensive evaluation by North Central.

Educational services may be defined as any services designed to support quality in an institution's overall educational program; for example, services provided by the

---

Alice T. Clark is Vice President for Academic Affairs, University of North Dakota (ND)

registrar, the academic advising system, the library, the learning resource center, the computer center, the media center, special remedial or honors programs, and so forth. Because of the inter and intrarelatedness of the four Evaluative Criteria, their assessment often overlaps. Judging the success of the educational services, for instance, indirectly includes the assessment of the educational programs themselves. If the services actually support the quality of the educational program, then part of the services validation should be discernable from the evaluated effectiveness of the educational programs. Being aware of those interactions may assist the institution to choose measures of success appropriate to its purposes or to redefine and rewrite its purposes to fit the available measures of outcome evaluation.

A practical approach for a campus self-study committee to develop assessment strategies for providing evidence that the institution is accomplishing its purposes in regard to its educational services might include the following steps:

1. List and define the educational services on your campus.

2. Individually outline the goals of each of these services and their relationship to the overall purposes of the institution.

3. Choose assessment strategies—internal or external, commercial or self-designed—that will allow you to report how much and how well the goals have been accomplished, how the achievement justifies the costs of effort, time, and resources, and how broadly the faculty and students have accepted the particular educational service.

4. The criteria should not dictate the self-study process, but still the institution must assure that the process provides sufficient evidence to demonstrate that the criteria for accreditation are met. As John Harris said:

> In contrast to the manufacturing paradigm, higher education is without direct indicators of quality assurance. Most of its indicators of effectiveness have to do with the 'richness' of its processes, i.e., credentials of faculty, classroom, and laboratory facilities, work loads of faculty, instructional technology resources, etc. In contrast, the interest in outcomes assessment is intended to move toward 'tasting the pudding,' in addition to checking on the cook and the ingredients.
>
> —from "Assessing Outcomes in Higher Education" in Clifford Adelman (Ed.) *Assessment in American Higher Education,* Washington, D.C.: AAHE, 1986

These and other related issues will be talked about at this elective session. Bring your questions for a solution-oriented discussion.

Using Student Follow Up Studies in Institutional Planning

David Williams

Institutional planning as implied in Criterion Three can be defined to be the conscious effort that an institution undertakes to determine how it can achieve a desired condition at some point in the future. Identifying its present state in order to select the appropriate strategies and guidelines to reach that desired condition is essential to any dynamic planning process.

In this paper, the writer will be limiting discussion to identifying some student generated basic informational elements critical in assessing and understanding the present state and how these can be used to document the extent to which an institution is accomplishing its stated purposes.

Additionally, this knowledge of the current conditions can be critical in establishing a course of action that will result in the accomplishment of desired goals.

Planning can contribute to the functional needs of an institution, so a brief reference to a planning model is necessary in order to establish the context in which student follow up studies may be conducted. The collection of data is essential to any planning process, and this simple format provides a structure around which specific data could be organized.

A. Agreement between mission and community.
B. Evidence of external communication and support.
C. Effectiveness of programs and services.
D. Processes for human resources.

Each of the elements of the planning process suggested above could be the basis for follow up studies. However, the one which focuses on determining the effectiveness of programs and services would naturally demand information obtainable from students.

Determining a systematic process for organizing follow up data is beneficial so that comparable data can be studied over long periods of time. The specific nature of each college and university, its history and its plans will also influence the collecting and organizing of data.

David Williams is Vice President for Academic Affairs, William Rainey Harper College (IL)

The following is offered as generalized approach to this need.

A. Institutional Follow up Studies

1. Periodic follow up of alumni
2. Periodic follow up of non-graduates

B. Specific Program Follow up Studies

1. Job placement, salary, locations
2. Job tasks
3. Preparation

C. Longitudinal Studies of Student Performance

1. Enrollment trends
2. Retention

When a college or university begins to examine the extent to which it has accomplished its goals and objectives, a primary source of evidence, it seems, is provided by its former students. Consequently, the necessity of establishing a formalized, systematic process of gathering information from former students is essential.

The Evaluative Criteria call for an institution to establish and understand its purpose. In conducting follow up studies on students, an institution not only collects evidence in determining if it is accomplishing its purposes, but this same information can serve as data to be used in the planning process which can assure both the institution and the public that it can continue to accomplish its purposes.

Bibliography: Jedamus, Paul and Peterson, Marvin W. (1980.) *Improving Academic Management.* San Francisco, Jossey-Bass.

CHAPTER VI

EVALUATIVE CRITERION FOUR

Evaluating Institutional Planning Processes

Paige Mulhollan

The purpose of our session on institutional planning is to acquaint those who are preparing institutional self-studies with the importance of describing their institution's planning processes and outcomes in terms of institutional performance.

All institutions plan in one way or another, and consultant-evaluators will look for the evidence of such planning and attempt to assess its impact on the institution. Plans originate both externally and internally, and both may dramatically influence institutional progress.

Many institutions find themselves within a state-wide or system-wide plan. In such cases, an institutional self-study should clarify the institution's place in the external plan and assess its operational impact. External plans may have positive, negative, or neutral impacts, and the institutional self-study should not only measure the impact of external plans but assess the means by which the institution can influence the external planning process or change its outcome if desirable to do so.

All institutions conduct internal planning, although in some cases the planning may be informal and impressionistic (or opportunistic) on the part of the president and/or selected administrators. More formal planning can be characterized as either long-range or strategic. The self-study should make clear which variety of planning exists at the institution, why it was chosen, and the process by which it has been carried out.

Many self-studies which adequately characterize planning processes fail to assess planning's impact on the community. Is the mission statement upon which any good plan must be based understood and accepted? By the various external constituencies? By all internal constituencies? In what direct ways has the plan had an impact on internal processes such as budgeting? What activities has the plan inspired in various academic units? In service units? In student services areas? To what extent has the plan addressed university concerns which go beyond individual administrative areas, such as affirmative action or information technology?

Assuming a formal plan of any sort exists, what are the means for assessing progress against the plan? Does the plan provide a regular means for reconsidering priorities? Does the plan allow for targets of opportunity?

Paige Mulhollan is President, Wright State University (OH)

Consultant-evaluators look for a planning process which contributes positively to university change and renewal. The most frequent failure in self-studies is an emphasis on the planning process to the exclusion of evidence regarding planning outcomes.

How Should the Self-Study Process Be Related to Institutional Planning?

Stephen Jonas

Self-examination is the basis for a college's processes for accreditation and planning. Accreditation and planning are both concerned with the quality and effectiveness of the institution and its overall improvement. Both involve evaluating the nature of the institution's mission and purposes; the adequacy of institutional resources (human, fiscal, and physical) and the organization necessary to carry out those purposes; an assessment of whether the college is accomplishing its purposes; and, an assessment of the college's ability to continue to accomplish its purposes.

The self-study for accreditation ideally should flow from an on-going institutional self-analysis which is what a college's planning process should be designed to accomplish. An annual planning process should include an examination of the institution's strengths and concerns and the development of plans to capitalize on those strengths and eliminate or alleviate concerns.

An institution's process for accreditation and planning should involve wide participation by internal and external constituencies in appropriate and meaningful ways. The involvement of faculty, administrative and professional staff, support staff, students, board members, and citizens is essential not only in seeking accreditation, but also in determining future directions. Each individual brings to the planning and self-study processes a different set of interests and different expertise, yet has in common with all other participants a genuine concern about the future of the institution. Among other things, the questions raised and the different points of view expressed contribute to an increased understanding regarding the issues facing the college.

The planning process should be designed to ensure that plans are developed throughout an institution in a logically integrated manner. The process should be considered a dynamic effort and should be revised as experience dictates. Sound plans are essential in order to identify what a college intends to do to continue to deliver quality educational programs and services and to develop resource allocations. In addition, the plans serve as a basis for evaluating not only the performance of a college as a whole, but also the performance of each of its organizational units.

Stephen Jonas is Vice President for Administration, Sinclair Community College (OH)

The planning and self-study processes should be designed to bring into focus some of the diverse factors that are likely to affect an institution's future over the next several years and to initiate pertinent discussions to help ensure that the development of the institution continues to be deliberate, relevant, and in concert with the wishes and needs of the community it serves. The process should also be designed to forecast future needs of the college in order to help shape decisions that will be made about program objectives and priorities. Figure 1 outlines a model for integrating the processes for accreditation self-study and institutional planning. The major activities and responsibilities associated with the implementation of the model will be described in detail during the session.

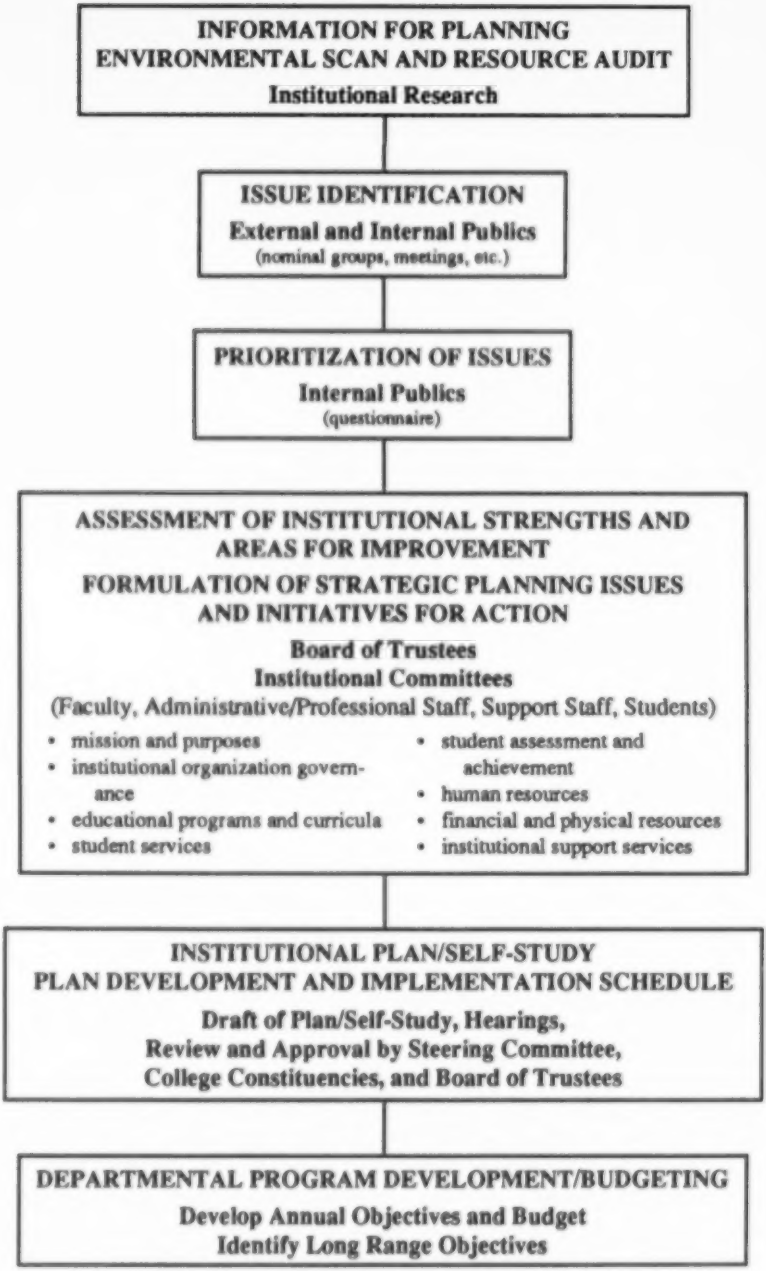

INFORMATION FOR PLANNING
ENVIRONMENTAL SCAN AND RESOURCE AUDIT
Institutional Research
ISSUE IDENTIFICATION
External and Internal Publics
(nominal groups, meetings, etc.)
PRIORITIZATION OF ISSUES
Internal Publics
(questionnaire)
ASSESSMENT OF INSTITUTIONAL STRENGTHS AND AREAS FOR IMPROVEMENT
FORMULATION OF STRATEGIC PLANNING ISSUES AND INITIATIVES FOR ACTION
Board of Trustees
Institutional Committees
(Faculty, Administrative/Professional Staff, Support Staff, Students)
• mission and purposes
• institutional organization governance
• educational programs and curricula
• student services
• student assessment and achievement
• human resources
• financial and physical resources
• institutional support services
INSTITUTIONAL PLAN/SELF-STUDY
PLAN DEVELOPMENT AND IMPLEMENTATION SCHEDULE
Draft of Plan/Self-Study, Hearings,
Review and Approval by Steering Committee,
College Constituencies, and Board of Trustees
DEPARTMENTAL PROGRAM DEVELOPMENT/BUDGETING
Develop Annual Objectives and Budget
Identify Long Range Objectives

Figure 1. Planning and Self-Study Model

The Role of Needs Assessment in Evaluation

Adelbert J. Purga

Consistent with Evaluative Criterion Four (The institution can continue to accomplish its purposes), evaluation becomes a most critical activity and ongoing component of an institution's operations. One of the key elements in an institution's ability to accomplish its mission is the ability of that institution to periodically change and adapt to the external environment.

Many theories from the private sector relate to interrelationships among organisms and organizations. With an ability to understand one's external environment, the institution is in a better position to adapt its programming to meet the needs of the constituencies whether they be interested in transfer curricula, vocational curricula, or community service/community education activities.

This presentation will include a discussion of various components of marketing theory as well as elements that enable institutional change. Specifically, institutionally controllable and uncontrollable variables (most particularly in the short-run) will be discussed as well as strategies that an institution may wish to undertake to better understand the external environment, whether it be through needs assessments in a formal setting or needs assessments in a much less structured and informal setting. We clearly must face the reality of not only the quality of existing programming but also the enhancement of an institution's dynamic equilibrium through program deletion, program modification, or program initiation.

Within this session, we will be discussing, most particularly, how an institution can enhance communication channels with the external marketplace and better understand how that institution may react to meet the identified needs.

Program evaluation can provide financial decision-makers with information specifically related to those internal and external variables that relate to a program's health. An institution's research function can aid greatly in the collection, synthesis, and partial interpretation of many types of information. Even though internal program data (i.e., cost effectiveness, enrollment, etc.) are vital to our decision-making, we cannot overlook the importance of the external data. The vitality and viability of successful

---

Adelbert J. Purga is President, Eastern Iowa Community College-Clinton Community College (IA)

program evaluation is contingent upon useful current information from the marketplace. In addition to aiding decision-makers as to the health of existing programs, it will also provide insight as to what emerging curricula or programs in which the institution may wish to become involved. Many successful needs assessments have been fully implemented using an institution's own staff and resources, thus keeping the cost to a minimum.

One of the points of this session will be the discussion of how a number of institutions have gone about conducting their own needs assessments using their own staff and friends within the community so that the process is internalized as the outcomes are developed. The role of needs assessments in the evaluation process is also extremely critical to the institution's ability to effectively plan and thus the institution's ability to effectively develop appropriate and timely institutional goals. As stated above, the needs assessment process must be viewed as a two-way communication channel between the constituency and the institution.

Within the discussion of needs assessments, I will also include typical techniques of data collection, typical community target groups, the typical data collection techniques used for each target group, and a set of recommended procedures for conducting one's own needs assessment. Five common techniques for data collection include the survey, social indicators, key informant, community forum, and rates-under-treatment approaches. Most often we do not rely on any one type of data collection method for any one target group. Rather, most needs assessments are conducted by utilizing a combination of these data collection techniques for each target group. When communication channels between various constituency groups and the institution are utilized, the market data collected will contribute to the strategic planning efforts.

During the presentation, examples of needs assessments conducted within the last two years will be made available for review by the participants. In this session, I will attempt to focus on the critical nature of informed decision-making particularly as it relates to institutional vitality and **the ability of the institution to continue to accomplish its purposes.** Only by a clear understanding of the community can an institution reallocate its resources in an appropriate and effective manner to enable the accomplishment of its mission. We must be in a position to incorporate information about the institution's clientele and the institution itself into the delivery systems, operational strategies, and strategic plan.

Strategic Planning as a Self-Study Process

Robert Shirley

Criterion Four requires an evaluation of the institution's ability to "continue to accomplish its purposes." In judging an institution on this dimension, the Commission seeks to determine whether an institution has realistically assessed conditions that will impinge upon it in the future, whether the financial and other resources are available to respond to those conditions, and whether the leadership of the institution demonstrates the creativity necessary to anticipate future opportunities (as well as difficulties) and respond to them in appropriate ways. The purpose of this brief paper is to indicate the use of strategic planning to demonstrate that an institution is indeed able to continue to accomplish its purposes.

More and more institutions are recognizing the need for a "strategic vision" for the future. Specific elements of a vision include decisions about basic mission, target audiences, program offerings and priorities, comparative advantage, and the key objectives to be pursued by the institution. These critical elements of vision should reflect careful study of institutional capabilities and values, on the one hand, and environmental needs and opportunities on the other. In fact, many students of higher education believe that defining a vision which is inspirational to all constituencies is the ultimate act of presidential leadership. All of the constituencies must be involved appropriately, of course, in order to generate a diversity of input and to create commitment to, and identification with, the strategic directions established for the institution.

In order to make the decisions which constitute the strategic vision, it is extremely important to involve faculty, staff, and students in the analytical phase and to solicit their recommendations concerning the content of the vision itself. A typical approach is to establish task forces to identify the strengths and weaknesses of the institution, environmental threats and opportunities, and the underlying values which should guide all decision making. Once the important factors are identified and interpreted, alternative strategic visions can be considered, i.e., alternative **positions** concerning mission, target audiences, program offerings and priorities, comparative advantage, and objectives. The ultimate outcome is the strategic plan, a document which communicates the vision in an inspirational way to all key constituencies. Such a document typically also includes the key implementation strategies necessary for achievement of the vision.

Robert Shirley is President, University of Southern Colorado (CO)

The University of Southern Colorado recently successfully completed the self-study process and relied almost exclusively in that endeavor on the strategic planning methodology outlined above. In recognition of the need to redirect the institution and its programs, and also to prepare for continuing accreditation, the University initiated the strategic planning effort in October 1984. Three task forces were formed to thoroughly evaluate the strengths and weaknesses of the institution and to assess the future environmental conditions that were expected to have significant impact on the programs and activities of the University. The first task force focused exclusively on academic programs, the second examined administrative offices in detail, and the third studied the student activities and athletic programs of the institution.

Each of the three task forces developed explicit criteria for evaluation of existing programs and for consideration of new program proposals. Certain "givens" were provided to the task forces by the President at the beginning of the process, so that a common frame of reference concerning mission, overall goals, and resource availability would be employed. All units on campus were given the opportunity to provide input to the task forces, and data were provided centrally as well. The task forces reviewed all available data and prepared preliminary recommendations which were discussed with the President during December 1984 and January 1985. Final recommendations were forwarded to the President on February 1, 1985, and the President submitted his final recommendations to the governing board six weeks later. The governing board adopted a strategic plan for the University on April 1, 1985.

The strategic plan, entitled *Mission, Goals, and Priorities: 1985-1990*, articulated the vision for the institution in detail, including the financial plan and reallocation strategies necessary for the future. A new mission was adopted, admission standards were put in place, and specific programmatic priorities were identified, including the elimination of one-third of the academic programs, over thirty percent of the administrative overhead, and approximately forty percent of the athletic programs. The funds released from elimination of these programs and reduction of others were reallocated to support the enhancement and/or development of new programs throughout the institution. Over twenty percent of the University's base budget was reallocated within a three year period in order to accomplish the redirection and strategic vision articulated in the plan.

The strategic plan for the University was presented as the primary focus for the self-study and reaccreditation process. In addition to the plan itself, a self-study steering committee submitted a brief report in accordance with the standard guidelines published by the North Central Association. Clearly, however, the focus of the visit by the evaluation team was on the overall strategic plan and its results. The University attempted, in its report to the visiting committee, to be extremely candid about problems associated with the strategic plan and thereby present a balanced perspective on the process to date.

The result of the accreditation process was highly positive. The visiting team found that the plan represented a positive basis for future-decision making. The plan has also provided a strong foundation for private fund raising efforts and other initiatives of the University.

How Can Strategic Planning Contribute to the Self-Study Process?

Sr. Mary Francilene, CSSF

Essence of Strategic Planning

The main objective of strategic planning within an institution is to establish a plan, based upon factors existing or projected both inside and outside of the institution, by which the institution can achieve a position or distinction in areas that it decides to emphasize. Thus, a strategic plan is based upon an analysis of the organization's strengths, goals, personnel, resources and mission as related to the entire arena of education in which it is competing. Seeking a measure of distinctiveness is a basic premise of strategic planning.

A comprehensive strategic planning cycle should be evaluated and continuously updated if its recommendations are to serve as an effective guide for an institution.

A strategic planning model can serve as the framework for an institution's Self-Study Report in the preparation for an accreditation or continued accreditation status. The self-study process provides the institution an opportunity to ask critical questions about itself and about the external environment. The best articulation between a strategic planning process and an institutional self-study occurs when the timetables for both processes are integrated and when the strategic plan incorporates appropriate questions and data which also relate to the Evaluative Criteria for self-study.

Sr. Mary Francilene is President, Madonna College (MI)

FOUR-YEAR TIME TABLE

Integrating Strategic Planning and Institutional Self-Study

(Sample: Four-year Schedule 1984-1988)

Activity	Purpose	Dates	Action Groups
Mission Statement	To *review* and *reaffirm* or *revise* the basic mission of the institution.	Oct. 1984-	Long Range Planning Team (also serves as the Self-Study Committee); various faculty standing committees (comprised of faculty, students, and
	To *approve* the *Mission Statement*.	June 1985	Board of Trustees
Environmental Assessment	To *identify external* and *internal trends* and *opportunities* which could have an impact on institutional operations through the 1990's.	Oct. 1985-Mar. 1986	LRP Team and Subcommittees
Program Assessments	To *review* the operations of all *academic and support programs* to ensure that they continue to meet the needs of the students and faculty; includes inventory of all resources present and projected.	Ongoing 1985-87	Academic and Support Departments; Faculty, Administrators, Staff
Goals Development	To *identify specific policies, goals* and *objectives* to be fulfilled by the institution through the 1990's.	Mar.-Oct. 1986	LRP Team and total community
Long Range Plan Development	To *consolidate* the *above components* into a viable plan which will be used to guide operations through the 1990's.	Nov. 1986-May 1987	LRP Team and institutional community
	To *incorporate budget process* and all *data*.	Feb.-June 1987	Planning Team; Business and Inst Research Offices
		Oct. 1987	Board of Trustees
North Central Accreditation	To *review* the *written self-study materials* as submitted; basic format *is* the strategic plan for the institution.	Dec. 1987	NCA Teams
	To *provide* an *objective assessment* of the quality of the institution's programs and services and determine its capacity to function at an acceptable standard through the 1990's.	Mar. 1988	NCA On-Site Visit
Implementation of Strategic Plan	To *activate* the recommendations of the institutional strategic plan and the suggestions of the NCA team.	1988-1992 and ongoing	College Community

Summary

Strategic planning is a critical link between everyday academic and administrative activities and the long term vision and viability of the institution. A strong planning process involves both internal and external members and defines long term policy and strategies for the institution with special emphasis on identifying unique institutional strengths while providing a plan to correct institutional weaknesses.

The various elements of a comprehensive Self-Study Report and a detailed strategic plan provide a strong basis for institutional review and advancement.

Integration of Elements of the Self-Study Report and Strategic Planning Processes

Self-Study[1]	Strategic Planning[2]
1. Review of Mission/Mission Statement	
2. Assess Strengths and Concerns	
3. Formulate stategies for capitalizing on strengths and eliminating/alleviating concerns	
	4. Identify Institutional Goals and Objectives
	5. Identify programs that will contribute to meeting goals and objectives
	6. Identify/allocate resources needed to implement plan
	7. Establish processes for periodic evaluation
9. Prepare Self-Study Report	

[1] From North Central Association Guide

[2] From Vaccaro, Louis C. "A Planning Model for Small Colleges" in *AGB REPORTS*, 1/A 1979

Measures of Institutional Stability

Dorothy I. MacConkey

The pivotal word in this discussion is **planning.** Every institution must be involved in planning in a most sustained way. Some planning is strictly formal. It evolves from a representative body of various campus constituencies and culminates in a product that is discussed, compromised and agreed upon by the constituencies involved in the process. Formal planning is important because it represents the coalescence of viewpoints on campus. Formal planning does run the risk, however, of being ludicrous. That is, it is so negotiated, so agreed upon and so middle-of-the-road that it lacks the "go power" to pull the institution into new and important directions. Planners must guard against this syndrome.

Informal planning is also a way of life in most institutions. Grouped into this category are departmental plans that move along without much fanfare and attention from elsewhere but nonetheless have an impact on the department's direction and ultimately the direction of the entire institution. Informal plans also include more subtle features of watching for opportunities and taking rapid advantage of such serendipitous events. For example, an institution that sees an announcement of a new grant opportunity and leaps into action to take advantage of the opportunity. In most cases, it is close to the mission of the college or university, but in some cases this type of planning requires a shift in emphasis in order to qualify for the funding opportunity. Questions need to be asked about shifts in emphasis.

A third type of planning, beyond the formal and informal, needs to be mentioned here. That is, the concept of presidential vision that has an impact on planning in a number of ways. Presidents are urged at conferences and in print to have a clear vision of the future for their institutions. This can also mean that some planning is inherent. Allocation of resources, use of people power, visibility of focus, for example, are all influenced by the president's vision for the future. The planning dilemma here is often "Is the vision communicated to all constituencies both in terms of timeliness and depth?"

Evaluative Criterion Four has two major variables for institutions to assess:

1. **Stability:** This variable deals with both past and present stability as indicators of the future. The myriad indices of stability are best selected on the basis of each

---

Dorothy I. MacConkey is President, Davis and Elkins College (WV)

institution, but for general assessment the variables of finances and enrollment are key. Is endowment slowly climbing? Do alumni show evidence of maintaining financial stability for the institution over the long pull? Are enrollments constant so that tuition-driven institutions can claim stability? Does the state institution have confidence that resources will continue to flow from state legislatures? There is no better way to judge the future than to look *now* at these indicators and plot the trend of the present from the past and then into the future.

2. **Quality:** Instruction at undergraduate and graduate levels can be measured by a series of indicators. The longevity and reputation of faculty are one way to judge quality. Heritage and values, so often soft-pedalled, may be "sleeper" variables that can really spell the difference between a ho-hum institution and one that is alive with vitality. How recently has your institution inventoried the remarkable facets of your heritage and described, ever so succinctly, those values for which you stand? Not to be ignored here is the alumni view of a degree from Mighty College or Classy University. Do alumni proudly proclaim their lineage or do you have evidence that they are somewhat apologetic about naming their alma mater? This attitude toward the institution may speak more loudly about quality than many of the more quantitative measures in place today. The quantitative measure of who and how many go on to graduate and professional schools cannot be overlooked as a measure of quality.

Planning, it is assumed, is an ongoing activity in a quality institution. Once plans are charted for the future the second level comes into play. That is, what priorities are established. Pitfalls here can be priorities based on campus power, or priorities based on least allocation of resources. The question to ask is, Are the priorities consistent with the mission? Are these priorities the best route to quality in the institution's future?

Strategies come next. Strategies must have a two-headed spear of timetables and budget tags. Without these, any strategy runs the risk of becoming a dream—always on the drawing board but never in the implementation stages.

Neither of the above variables can stand alone in the planning process unless evaluation is built in. To evaluate honestly sets the stage for change or praise. Both are commendable.

CHAPTER VII

WORKSHOP FOR SELF-STUDY COORDINATORS

The Self-Study Plan: The Blueprint for a Quality Institutional Assessment

Edward W. Holzapfel, Jr.

The objective of this session is to provide relevant information for developing the self-study plan, organizing the steering committee, and controlling and directing the self-study process.

The development of a sound self-study plan is an imperative first-step task for the self-study coordinator. While the plan is required for submittal to North Central, the real value is in providing a blueprint for the faculty and staff of the institution. The guidance provided by a well-developed plan will aid in conducting a smooth and orderly self-study process.

The presentation will be in two parts. The first will deal with the components required in a self-study plan. The second will consider a possible model of assessing institutional effectiveness that can provide a vehicle for conducting the evaluation.

Outline of the Self-Study Plan

I. Getting Started: CEO Responsibilities and Input

   A. Establish the timetable for the process

   B. Appoint the Self-Study Coordinator

      1. Establish selection criteria
      2. Define the role and responsibilities

   C. Appoint the Self-Study Steering Committee

      1. Establish selection criteria
      2. Define the roles and responsibilities

II. Components of the Self-Study Plan

   A. Identify the audience and address their needs

      1. NCA staff and team
      2. Intra-institutional players

Edward W. Holzapfel, Jr. is Dean of Administrative Services, Washington Technical College (OH)

B. Describe the NCA Evaluative Criteria and General Institutional Requirements

C. Provide for a review of the institutional mission, goals, and objectives

D. Develop the outline for the Self-Study Report

1. Introduction (information required by NCA)
   a. The purpose of the report
      1) Accreditation
      2) Institutional improvement
   b. Description of the self-study process
   c. Organization of the Self-Study Report
   d. Summary of the institution's accreditation history
   e. Explanation of the procedures used to present the institution's responses to the most recent NCA evaluation team report
   f. Institutional changes and significant developments since the most recent evaluation visit
   g. Explanation of any special or unusual aspects of the institution

2. Evaluation narrative
   a. Institutional evaluation in terms of each General Institutional Requirement
      1) Related strengths
      2) Related concerns and proposed corrective actions
      3) Concerns identified in most recent evaluation team report and corrective action taken
   b. Institutional evaluation in terms of each Evaluative Criterion
      1) Related strengths
      2) Related concerns and proposed corrective actions
      3) Concerns identified in most recent evaluation team report and corrective action taken

3. Summary
   a. Request for status sought
   b. Worksheet for Statement of Affiliation Status
   c. Basic Institutional Data forms

E. Identify the units of evaluation

1. Unit evaluation narratives
   a. Brief description of unit in terms of function and personnel involved
   b. Statement of unit objectives
   c. Unit analysis of strengths/weaknesses (unit performance)
   d. Unit description of corrective action taken since last evaluation visit
   e. Description of how unit performance contributes to the accomplishment of the institutional mission and objectives and contributes to the institutional fulfillment of the Evaluative Criteria and GIR's, when applicable

2. Compile support documentation for examination by visiting team

F. Institutional Evaluation Narrative

1. In terms of the Evaluative Criteria
2. In terms of the General Institutional Requirements

A Model for Assessing Institutional Effectiveness

The model is a three stage process containing the pre-assessment planning phase; the planning process phase; and programs and services operations phase. The model places particular emphasis on planning, evaluation, and systematic feedback concerning actual operations. It is concerned mainly with outcomes, while recognizing the value of also examining the input and process factors. Because the end results of the self-evaluation process should be improvement of the institution, the model is information-based. Thus, it aids the institution in learning about its strengths and opportunities for improvement.

Self-Study Coordination at a Community College

Thomas Stone
Richard Thompson

Ideally, the role of a Self-Study Coordinator is one which requires patience, verve, attention to detail, the approach of a generalist, ability to delegate, willingness to do it yourself, and a sense of timing. To put it another way, the role of a Self-Study Coordinator is suited to at least two people.

Aside from these personal attributes, the coordinator'(s') essential function is to plan and execute. The goal of the coordinator is to conduct a self-study and its report which does not become an end in itself and does meet NCA expectations.

The order of activities and outline of responsibilities follow.

1. The first order of business is a thorough reading of the NCA publications:

   A Manual for the Evaluation Visit
   A Handbook of Accreditation
   A Guide to Self-Study for Commission Evaluation
   A Collection of Papers on Self-Study and Institutional Improvement

2. A careful reading of the last self-study should be instructive and, if you have to hunt for it and are slightly embarrassed by its contents, stimulate you into producing a self-study which does more than hold its place on a shelf.

3. The next bit of required reading is the last NCA visiting team's findings.

4. With that background, your next assignment is to sit down with your CEO and establish the approach (strategy) of this self-study, its administration (chair, co-chairs, clerical support, etc.) and the populating of the Steering Committee.

5. Your approach to the self-study may be as straightforward as the Evaluative Criteria and a series of questionnaires, or as powerful and imaginative as you are willing to risk.

Thomas Stone is Chair, College Academic Senate, Oakland Community College (MI)
Richard Thompson is Vice President, Oakland Community College (MI)

6. You should attend the Annual Meeting of the NCA and have the first meeting with the Commission staff person assigned to your institution. You should establish and clear with that individual the approach you wish to take and select dates for the visit.

7. Upon returning to your college, you should meet with the Steering Committee and establish assignments (if appropriate) and a timetable for self-study activities and the production of the report.

8. The next task is to embed the self-study within the institution sharing the approach, assignments, and timetables with your senate, faculty, unions, administrative council(s), students, and Board of Trustees. A particularly effective device to aid in this process is a newsletter.

9. Develop a check list that covers all of the implementation and events of the self-study.

10. Six months before the visit the requirements for the visiting team are established, a team leader is assigned, and the team is selected. Make sure you identify significant institutional characteristics and expectations for team selection.

11. Visit logistics and the team work site(s) should be developed.

12. Two months before the visit the supplement (if needed) should be provided to the team along with the self-study report and other essential data.

13. The visit then occurs—you worry, fret, make sure everything is covered, cover the inevitable missed items and enjoy the fruits of your labor when your institution is provided with an insightful confirmative report by the visiting team.

Managing Self-Study by Objective

Lila Seaman

The neophyte self-study coordinator, when introduced, is greeted by polite expressions of congratulations and well-wishing. Some more honest colleagues question our optimism, our motives, and yes, our sanity. They wonder aloud, "Can you pull it off?" The answer is yes, if we have a good sense of humor, organizational and communication skills and persistence. Obviously, our administrators have already recognized these qualities in us! Hence, we find ourselves searching for strategies that will be effective in this new task.

Another common misgiving among coordinators is the question of mortality. Will it make any difference, or will this process lead to one more dusty report to die on the shelves? It is important to deal with this issue at the outset so that individuals can be motivated to make meaningful contributions to the process. How can the coordinator assure that the findings and recommendations of the study will be integrated into the planning and functioning of the institution?

The role of the self-study coordinator can be extremely rewarding when the self-study process is designed with a view to enhancement of the institution. The prospect of effecting meaningful change through the accreditation review can also be a significant motivating factor for steering committee members. The coordinator holds a pivotal role in determining the success of the self-study process. One way this can be accomplished is through establishing clear objectives at the outset of the study followed by built-in accountability and validation processes.

This session focuses on objectives for the self-study coordinator and shows how accountability checkpoints can help to achieve goals. Examples will be given to show how each objective can be met; samples to be shared include the following:

President's charge
Monthly reports to the President
Bibliography of resource materials
Research methodology matrix
Materials to orient the campus to self-study
Organizational chart for the process
Instruments to implement change after the study
Sample Planning processes

Lila Seaman is Director of Institutional Research, Cedarville College (OH)

Discussions will center around strategies to accomplish the five objectives listed below:

I. Establish the viability of the self-study process

- A. Assure administrative support
- B. Select and motivate a good steering committee
- C. Devise an organizational structure
- D. Conduct open hearings; identify strengths and concerns
- E. Observe checkpoints to validate the study
  1. NCA staff review
  2. Peer review
  3. Broad based input
  4. Community review of draft
- E. Periodic reports to the president
- F. Keep a sense of humor

II. Mobilize resources for the process

- A. Use existing data
- B. Assign subcommittees
- C. Establish a budget
- D. Provide a clearinghouse for materials
- E. Use available bibliographies
- F. Consult with experienced coordinators
- G. Look at sample studies
- H. Utilize CIHE institutes, materials and consultants
- I. Renew the sense of humor

III. Integrate the process with existing practices

- A. Involve key people
- B. Focus on planning
- C. Allow time for phases of the project
  1. Structuring
  2. Data gathering
  3. Reporting
  4. Responding
- D. Devise instruments to implement change after the study
- E. Polish the sense of humor

IV. Write the Prospectus

- A. Publish the president's charge
- B. Provide the SAS to clarify current accreditation status
- C. Write an introduction including purposes and priorities for the study
- D. Clarify the organizational plan for coordination, direction, and procedures of the study

E. Delineate a timeline for year one, two and three
F. Draft a working outline for the report
G. Describe methodological strategies and alternatives
H. List personnel to be involved in the study
I. Enjoy the sense of humor

V. Facilitate the Process

A. Meet regularly with steering committee; be prompt; keep agenda
B. Delegate responsibility
C. Set deadlines; revise deadlines
D. Provide materials, offer help
E. Communicate progress to administrators
F. Give credit generously
G. Share the sense of humor

Seizing the Self-Study for Self-Interest: Confessions of a Cynical Coordinator

Edwin H. Welch

Rumor has it that becoming a self-study coordinator is a frightening and awesome responsibility. It's a dirty job and someone has to do it (and you've been chosen). It's a thankless job with no reward (the college gets reaccreditation and you get another assignment). It's a time-consuming job done for outsiders (your task is to satisfy the visiting team). It's a tertiary job with no real benefit for the college (you only avoid losing accreditation).

Unfortunately, I began my work as a self-study coordinator believing some or all of those assumptions. No one succeeded in telling me how short-sighted I was, so I had to learn that for myself. Had I learned more quickly, I could have done a better job of seizing the self-study for self-interest, i.e., of identifying and achieving college goals rather than simply trying to satisfy the North Central Association.

What did I learn?

First, I learned that the self-study process is a wonderful gift for enabling a college to rediscover its heritage, to rethink its mission, and to recast its vision. Colleges, as centers of critical reflection, require constituencies which are constantly studying, thinking, complaining, scheming, and proposing. A good self-study will direct that energy toward the most important questions that can be addressed: Who are we? Why do we exist? How are we doing? Where are we going? What are the obstacles and opportunities? When do we want what to happen and why?

Second, I learned that the process is primarily characterized by freedom and openness. There is great latitude for the institution and the coordinator to shape the self-study process. You can determine the focal points of the study, select the process for the study, identify the format for reports, choose the critical questions to be addressed, and request areas of expertise on the visiting team.

Third, I learned that the self-study process is an ideal vehicle for inclusive, long-range planning. It is healthy, natural, and very desirable to include all of the college's constituencies in the process. This means the board, the president, the administration,

---

Edwin H. Welch is Provost, Wartburg College (IA)

the students, the faculty, the staff, and the alumni. For me, it also meant the NCA staff and a list of external experts. By keeping one eye focused clearly on the current institutional evaluation and by keeping the other eye focused on the next anticipated evaluation, the self-study can be the stimulus and the means for critical institutional planning.

What advice can I give for doing the job well?

1. Work closely with the president of the college. Be certain that both of you understand the importance and the potential of the self-study process. Agree on what you hope to accomplish through the process and on how you are going to do it. Develop a shared understanding of your respective roles and responsibilities.

2. Communicate early and clearly with the North Central Association staff about dates, expectations, and the composition of the visiting team. You might choose to arrange a visit to your campus by the NCA staff member who is your resource person and liaison.

3. Know the extent and limits of your authority and responsibility for the self-study process. It is and should be a college project rather than that of a single person. Be realistic about what you can and must do. Share and delegate tasks as much as feasible.

4. Identify the goals and the desired outcomes of the process. What meaningful benefits can this contribute to the life of the college? Given the involvement demands and the limitless opportunities of the study, you should easily accomplish more than just reaccreditation.

5. Select a steering committee of key workers who can be counted on for direction, criticism, legitimization, and assistance. Share with them your realism about the task and your vision of how meaningful it can be. Let them help shape and take ownership for the process.

6. Decide which constituencies of the college will be involved in the study and how. Would it be helpful to include alumni, donors, or community people? Should they be used as consultants, evaluators, or survey respondents?

7. Spell out in some detail the process of the self-study. Decide how the final report will be divided into chapters and whether to use standard committees or ad hoc ones. Give committees clear and precise duties and expectations. Avoid overlapping responsibilities or duplicating requests for information. Establish a time schedule that is reasonable and workable.

8. Choose someone to edit the self-study and ask others to write drafts for various chapters. Give the writers an outline or guide so their chapters will blend together easily, and let them know that the steering committee and/or the editor may rewrite their drafts to produce a final report which has consistency and integrity.

9. Prepare carefully for the campus visit by the evaluation team. Give the visiting team succinct and complete information in a timely way, handle their scheduling requests and needs, and provide them with the on-campus facilities and resources which will allow them to do their job well.

10. Plan intentionally for what you do after the visiting team has left, after the preparation, analysis, and recommending are completed. How will you share and use the report of the visiting team? What needs to be done to assure that you actualize the opportunities of the self-study and that you achieve the long-range outcomes which you identified when the process began?

Is it worth it to be a self-study coordinator?

Absolutely! You will expand insights, skills, and friendships which will benefit you for a long time. At least for a short time, you will be the most knowledgeable and informed person anywhere about the college. In addition, you will make a contribution to the life of the college that will shape it for years to come.

The Self-Study Coordinator's Responsibilities at a Liberal Arts College

Mildred Chapman

The responsibilities of the self-study coordinator at a liberal arts college begin with a comprehensive personal knowledge of the institution and its people and move through discerning involvement of those people in achievement of a self-study to which collegial ownership is given. Expedition of the self-study process may take many forms but flows most effectively from certain basic premises.

These premises and related commentary are as follows:

1. The coordinator's thorough acquaintance with the institution must be grounded in the institution's historic evolution and move toward a coherent grasp of current stance and stature. Beyond this, however, must be acquaintance with and insightful assessment of the people of the institution.

2. Assurance of administrative support throughout the process and specific arrangement for the procedural details of this support are essential.

3. A cross-section of key personnel from representative segments of the college community should be invited and encouraged to serve on the steering committee. Faculty, administration, student, and, if possible, trustee representation should be included. Yet a large committee can become unwieldy. Analytical and writing skills are obviously important committee-selection criteria.

4. The college president, although not usually a steering committee member, should be informed regularly of the direction of the study. The president's suggestions should be sought and carefully communicated.

5. The process and format of the self-study should be determined jointly by the self-study coordinator and the steering committee. Appropriate determination will not come easily and may involve several committee sessions. The coordinator's skill in guiding the committee is first authenticated at this juncture. Certainly he or she will have done much preliminary thinking and have in readiness the outlining of possible approaches. The committee members are, however, early in the process

Mildred Chapman is Professor of Education, Taylor University (IN)

less oriented to specifics and may conclude that their input is only perfunctory if format and process are seemingly predetermined. Fresh ideas are valuable and can often be grafted effectively to already anticipated but discretely withheld conclusions of the coordinator. To make what is usually a two-year process pleasant and truly democratic, the steering committee must evolve its work plan gradually and in an atmosphere of genuine respect.

6. The organization of a work pattern should include not only the delegation and acceptance of information collection responsibilities but also direction for steering committee members accepting these responsibilities to choose subcommittees to assist in comprehensive determination of needed information and an appropriate collection process. The well-informed coordinator often can make prudent suggestions about membership inclusion. Broad campus representation at this juncture is crucial if there is to be total campus ownership of the self-study.

7. The self-study coordinator should be readily available for attendance at subcommittee meetings. Monitoring the total process is essential but the monitor should be viewed as helpful rather than oversolicitous.

8. Wide campus involvement should be operational for review of the institution's mission statement. Building the self-study to determine the accuracy and implementation effectiveness of the mission statement is primary. Trustee, administration, faculty, staff, and student ownership of the mission statement is foundational to review of institutional identity.

9. The coordinator may then suggest that the various administrative areas of the college review performance objectives to assure effectuation of the college mission. All of this will fit into the format determined by the steering committee. Work requests should emanate from the appropriate subcommittee.

10. Total campus involvement will now assume many forms in addition to review of objectives. Questionnaires for the collection of information will be frequent, but duplication of time and effort can be avoided because of precise planning within the steering committee. There should also be time for reaction to progress reports from the steering committee and opportunities to make positional statements before subcommittees.

11. To set the tone whereby the self-study is of real institutional value, the coordinator must encourage forthrightness in all approaches. Creating an atmosphere for the identification of both strengths and weaknesses and exploring their pervasiveness is highly important. Modeling this approach in the writing of a first-chapter draft is superb leadership strategy.

12. All chapter drafts should be submitted to steering committee members at least one week before the scheduled review meeting. This may become a tedious process as numerous revisions occur, but it is foundational to assuring coherence and

preventing numerous unnecessary repetitions of information. An abundance of editing responsibilities will still be available to the coordinator; significant content disagreements, however, will have been arbitrated in the steering committee.

13. Intermittent progress reports in faculty, staff, and trustee meetings, student government sessions, and campus and alumni news media keep alive awareness of the importance of the study.

14. The drawing together of conclusions is a process for which coordinator leadership skills are imperative. Perhaps the submitting of a preliminary list to the steering committee with requests for proposed additions, subtractions, and adjustments is the preferred procedure. Certainly the final work sessions of the Steering Committee create the tone of readiness for the visiting team.

15. Draft copies of the full report should be made available at announce campus gathering places and a questionnaire submitted to all faculty and administration for appraisal of accuracy and appropriateness of content. Revision based on this feedback should then occur.

16. The steering committee member responsible for a specific section of the report should be consulted before major editing of material in that section is effected.

17. The importance of keeping the campus community attuned for the team visit can not be overestimated. The time lapse between the completion of the report and the actual visit should be one of continuing alertness to affirm self-identity claims, anticipate broadening insights from the visiting team, and plan effectuation of those insights to strengthen the institution.

The responsibilities of the coordinator are time consuming and emotionally draining. They are also invigorating and emotionally stimulating. Casual acquaintances become close friends during the hours of shared industry. The institution one initially knew well becomes the institution known and served with all-embracing conviction and dedication. The knowledge that this conviction and dedication is shared by the many involved in the structured self-study process is professional renewal par excellence.

Planning for Reaccreditation Review

John T. Farr

The term "self-study coordinator" is well-chosen: this individual does not alone carry out the self-study process and prepare the report. Rather, the coordinator leads other participants in the review process, guides planning for the self-study and the preparation of the report, ensures that work progresses on schedule, and generally resolves the problems that inevitably emerge along the way. The role is at once people-oriented and process oriented; it extends from broad conceptualization to attention to a broad range of specific details.

As with most large undertakings involving the work of many people over a period of several months, painstaking, imaginative planning is of critical importance to a successful self-study process. Effective planning helps to ensure that self-study objectives ultimately are accomplished, that all participants know what is expected of them, that the many pieces of the project fit comfortably into place, that no major omissions or oversights critically flaw the process, and that the self-study realizes its potential as a vehicle for institutional improvement.

Self-study planning covers a broad range of tasks and projects, from identifying the objectives of the self-study process to making local room and transportation arrangements for the evaluation team's site visit. Perhaps the most critical element of the planning process, however, is in developing the self-study plan. Here, a fundamental issue is the selection of an organizing concept, or basic approach, for the self-study. This determines in large measure the kinds of data to be collected, the formulation of work assignments, and, ultimately, the nature and character of the Self-Study Report. It is a critical decision that requires careful deliberation.

Three basic approaches may be considered. The first focuses on the four Evaluative Criteria; the second emphasizes the principal functions of the institution; and the third centers on the organizational structure of the institution. Numerous combinations and variations of these also may be devised.

The principal advantage of the first approach is that the self-study focuses directly on the criteria that must be satisfied for continued accreditation. By organizing the self-study process around the criteria, consciously collecting data that are relevant to the criteria, and devoting specific chapters or sections of the report to the criteria, the

John T. Farr is Assistant Vice Chancellor for Academic Affairs, University of Nebraska at Omaha (NE)

institution should be well-positioned to make a persuasive case that it does, in fact, meet the required standards for continued accreditation. The institution must show that it meets the criteria; this organizational pattern channels the entire self-study process toward that major objective. Moreover, this approach should facilitate the work of the evaluation team by presenting the evidence it will be seeking in a straightforward manner.

The principal disadvantage of this framework is that it may be awkward to conceptualize an institution and the richness of its life in terms of the criteria. We are typically unaccustomed to examining our institutions on the basis of these categories of analysis. Evaluative Criteria One, Two, and Four tend to pose no special difficulty; however, the third criterion, brief and clear as it is, can be troublesome. Finally, campus constituencies may not relate as readily to this approach as to others.

The second approach centers on the principal functions of the institution, e.g., instruction, research, public service, student development, etc. Often, an institution's mission statement is formulated in terms of these functions. The advantage of this approach is that these are familiar terms; we are accustomed to describing and evaluating our institutions in light of the main functions, or missions they carry out. There is much to be said for organizing a major evaluative process around concepts with which we are comfortable and which we understand reasonably well. (This is not to suggest, however, that the self-study process should be designed to maximize the comfort level of the participants!) Also, this approach is an integrative one that cuts across organizational boundaries and facilitates evaluation of the institution as a whole (e.g., the effectiveness of academic programs). It also affords a measure of latitude for creativity in portraying the distinctive character of the institution. Finally, the functional approach may result in a report that is more meaningful to internal constituencies and that may prove to be more effective in accomplishing specific campus objectives of the self-study process (e.g., a review of general education requirements, etc.).

The main disadvantage of the functional approach is that it does not directly address the four Evaluative Criteria. A discussion of how the institution meets the criteria must be superimposed on the functional framework, and this too can be awkward. In practice, it also may tend to encourage description rather than evaluation. Invariably, it is easier to describe what we do than to evaluate it; hence, this approach should be accompanied by a strong commitment to focus on assessment and not to overemphasize description.

The third approach is based on the organizational structure of the institution, with each major administrative component typically asked to undertake a self-study. Colleges, and even departments, also may prepare self-studies, which then become sections of chapters in the report. The advantage of this approach is that the self-study process proceeds along organizational lines and responsibilities: the units that carry out the functions of the institution undertake self-assessments of their efforts. This approach is especially useful if there is not already an existing system for internal organizational

review, or if one of the objectives of the self-study process is, in fact, to promote serious self-evaluation and improvement on the part of individual organizational units. In addition, the organizational framework promotes a greater sense of ownership in the self-study process and report among campus constituencies.

The organizational approach, however, tends to lack continuity and focus. Invariably, there is unevenness among the units in both style and substance, and this likely will be reflected in the final report. More importantly, this scheme addresses the parts of the institution, not the institution as a whole, and it is the *institution* that is being accredited, not its parts. As in the case of the functional approach, a discussion of how the institution satisfies the four Evaluative Criteria must be superimposed on an organizational construct. This is not an impossible task, but it could prove to be a nettlesome one. Also, this approach may tend to result in excessive description at the expense of evaluation.

Although various combinations or permutations can be developed, the criterion, functional, and organizational approaches represent the principal conceptual schemes for organizing an institutional self-study. Each has certain advantages and disadvantages which should be judiciously weighed by the coordinator and steering committee in fashioning the self-study plan. The approach that each institution ultimately crafts for itself will depend on its specific objectives for the self-study, the kind of message it wants to project to the evaluation team and other audiences, and how the coordinator and steering committee perceive their institution and its dynamics. In every case, however, the self-study must squarely address the four Evaluative Criteria and make a persuasive case that they are being met.

Coordinating the Self-Study: Major Points of Choice

Daniel E. Ferritor
Nancy Ellen Talburt

There is a tide in the affairs of men
Which taken at the flood, leads on to fortune
Omitted, all the voyage of their life
Is bound in shallows and in miseries.

Early identification of the major decisions in carrying out an institutional self-study is one way to ensure that choices will be made consciously and at the right time, rather than by default or too late. These major decisions should involve the campus and administration, not just those conducting the study. The objective of this summary is to characterize major decision points identified at the University of Arkansas, Fayetteville, during the self-study year. The focus of the presentation, on the other hand, will be to discuss how choices made at these points can affect the nature and results of self-studies carried out on other campuses. Four major choice areas are treated.

I. Identifying the institutional aims of the self-study.

All institutions are assumed to desire reaccreditation or initial accreditation as a result of self-study. Minimal requirements to this end are an acceptable Self-Study Report based on discernable institutional self-study activities, minimally acceptable institutional mission, resources, effectiveness, and planning processes, and a responsive institutional posture during the team visit. Most institutions, in accordance with NCA expectations, will want to do more and get more from the study. Many will use the process to identify their strengths and weaknesses for their own purposes.

The first big decision then, obviously, involves what else to aim for. Two important questions follow:

A. *Should the self-study process involve a special effort or give an individual focus to the entire process?*

Daniel E. Ferritor is Chancellor, University of Arkansas, Fayetteville (AR)
Nancy Ellen Talburt is Assistant Vice Chancellor for Academic Affairs, University of Arkansas, Fayetteville (AR)

Factors to consider here include whether there are recent significantly-changed circumstances at the institution, such as a new president or chancellor, a substantial change in funding, a substantial change in status or mission for the institution, a substantial change in enrollment, or some important occasion for the campus, such as a centennial. Is the institutional climate right for an unusual effort which may be useful—as Henry IV would have seen it—in drawing disparate parts of the campus together for a common effort for morale, revitalization, reorganization?

B. *Should the campus or the self-study effort seek to identify specific institutional needs which might be served through, or perhaps in addition to, preparation of a self-study document for NCA?*

For example, an institution without well-organized planning processes could use the self-study to define and initiate such processes; an institution without an annual report could set up a process capable of being reiterated each year to produce such a report; an institution faced with major cutbacks could incorporate a rating scale which would serve to identify institutional strengths and less central or effective programs or offices; an institution preparing to make major changes in the core curriculum, establish an undergraduate college, or change admission requirements could plan to obtain necessary data through the self-study process.

The answers to these questions may dictate the need to answer a third:

C. *To what extent should the process be lengthened or contracted—that is, will it require two years or more, eighteen months, one year?*

Most experience suggests that for an institution of even moderate size or complexity, two years are required. In some cases, less time may be required (if existing structures and information are available to do the self-study) and a sharper focus may result from concentration. When special focus is given to the effort or additional needs are to be served, however, a different timetable may be required.

II. Conducting the self-study

The aims of the self-study having been identified, the next major decisions involve the degree to which special structure, process, and material are needed or desirable. Some important questions in this area are listed here.

A. *To what extent should the self-study use available committee structures and to what extent name special task forces, steering committees, subcommittees, and directors, coordinators, or editors especially for the self-study? A related question involves the extent to which established review or study processes should be used.*

In answering this question, it will be necessary to consider several factors. Is there an academic advisory committee, faculty council, administrative cabinet, or campus council which could plan and direct the self-study? Does the appropriate existing committee function well—that is, is it of a manageable size, is it representative, is there a good group serving at the time, are they already overburdened with work? Are existing committees sufficient to plan, supervise, and perform the task, or should additional working committees be set up? Campuses have considerable review for outside agencies going on most of the time, such as for AACSB, ABET, NCATE, and the like. Might these effectively serve the self-study exercise?

If it is necessary to set up additional committees and use additional processes, the following questions must be addressed.

B. *What kind of experience, ability, temperament are needed in the self-study coordinator?*

For example, should the coordinator be a faculty member or an administrative staff member, someone so experienced as to know much of what will be learned by the committee—and consequently possibly less enthusiastic and more cynical— or someone less jaded, with fewer prejudices but with less information and less experience?

C. *To what degree should coordinating committee structure reflect campus divisions and constituencies (as opposed to perspectives, talents, experience)?*

Once the decisions have been made concerning who will direct and perform the self-study, another decision must be made.

D. *To what extent should the study use (depend upon) available data and to what extent should it involve the collection of data and opinions and generate discussions specifically for the self-study and report?*

Some institutions have a great deal of data available, not only in the form of accreditation reports but also of annual reports, enrollment reports, work-load studies, and budget requests. Other materials collected routinely or as a result of previously-organized studies or reviews, such as program reviews, reports of accreditation team visits, and the self-studies produced for those accreditation team visits may suffice. On the other hand, available data may not be organized in such a way as to be very useful. It is less likely to contain assessments by students and alumni or to be complete.

If it is necessary to generate data specifically for the self-study, several further questions must be answered.

E. Should the study use commercial or other packaged questionnaires, as opposed to the employment of a professional analyst or faculty expert to design one or more questionnaires especially for the institution, to sample views of faculty, students, alumni, staff, or others?

F. Will individual units (at the lowest "organized" level, such as department or even program area) undertake self-studies, as opposed to participation being primarily at the college level (assuming an institution that is organized into multiple colleges and schools)?

G. Should different groups or committees be charged with choosing and designing instruments for collecting data or with commissioning them? If more than one, how can overlap be minimized (to prevent each college or program area from receiving a questionnaire or information request from each committee)?

Once data are available for analysis and use in the report, there are two other important questions.

H. To what extent should the self-study committee validate data and supplement it, and who is responsible for data interpretation, regardless of its origins?

Some department reports may be poor or incomplete or reflect obvious bias or wrong interpretations of questions or guidelines. As data are collected, who will determine what data can by used safely and what must be checked or replaced and how will the additional data needed be collected (will someone ask that reports be done over, for example)? If the data are to be shared with the campus, how can the confidentiality of the respondents be maintained?

III. Writing the report

As the study is planned, the report to convey its results should also be planned. Again, major choices must be made.

A. To what extent should the organization of the written report be similar to the structure of the self-study process?

That is, should the study and the final report have the same organization, or will the study follow the lines of administrative units with the report organized, for example, according to the four Evaluative Criteria?

B. To what extent should the written report reflect a unified, defined, and identified perspective or view of the institution (as opposed to varying perspective according to paragraph, section or chapter)?

Should the report present the views of the president, campus administration, campus governing body, campus faculty body, self-study steering or coordi-

nating committee, board of trustees or governing body? Should an attempt be made to present a consistent perspective? Is it better to note majority and minority views on various issues? In what manner can the draft(s) be revised to reflect the opinions of various constituencies, assuming the facts are generally agreed to be accurate?

C. *Is it necessary to employ an editor to revise and complete the Self-Study Report from the collected or available materials and findings?*

It may be necessary to make usage and style consistent, to refine or tighten committee work, to shorten, or to reorganize materials developed. A second opinion, or an experienced writer or editor, may be needed to present study findings in their best light.

IV. Using the results

Perhaps the most important choices regarding the self-study results can only safely be made once the results are known.

A. *How widely should the Self-Study Report and the team report be distributed?*

Should copies go off-campus, for example to the state coordinating board, the governor, members of the legislature?

B. *How can recommendations made in the report and by the team be evaluated and, if desirable, implemented?*

C. *How can the momentum and the focus on planning and assessment be maintained?*

CHAPTER VIII

USING THE SELF-STUDY PROCESS FOR INSTITUTIONAL IMPROVEMENT

Self-Study and Long Range Planning: A Complementing Process

Daniel Brobst

Thesis: The process of accreditation can improve the total effectiveness of any institution provided there is:

- strong leadership
- institutional and community involvement
- continual commitment for improvement

Introduction

The purpose of this session is to clearly project the significance of the North Central Association self-study in the design and implementation of a comprehensive institutional long range plan. To provide structure and direction, the presentation will focus on the process and dynamics of a combined self-study and long range plan as it positions an institution for future challenges and commitments.

As each institution is unique within the parameters of its own philosophy it also reflects a distinct character that mirrors the needs and demands of the community it serves. The philosophy of the North Central Association provides every institution the flexibility to be unique in the presentation of its report with the only condition being that it demonstrate the questioning of the four Evaluative Criteria.

Capitalizing on this philosophy, Hawkeye Institute of Technology was not only supported but encouraged by the North Central Association to combine its institutional self-study with the comprehensive long range plan. This collaboration provided continuity throughout the project by eliminating any confusion of purpose. Consequently, from the inception, institutional long range planning and North Central Association self-study became synonymous.

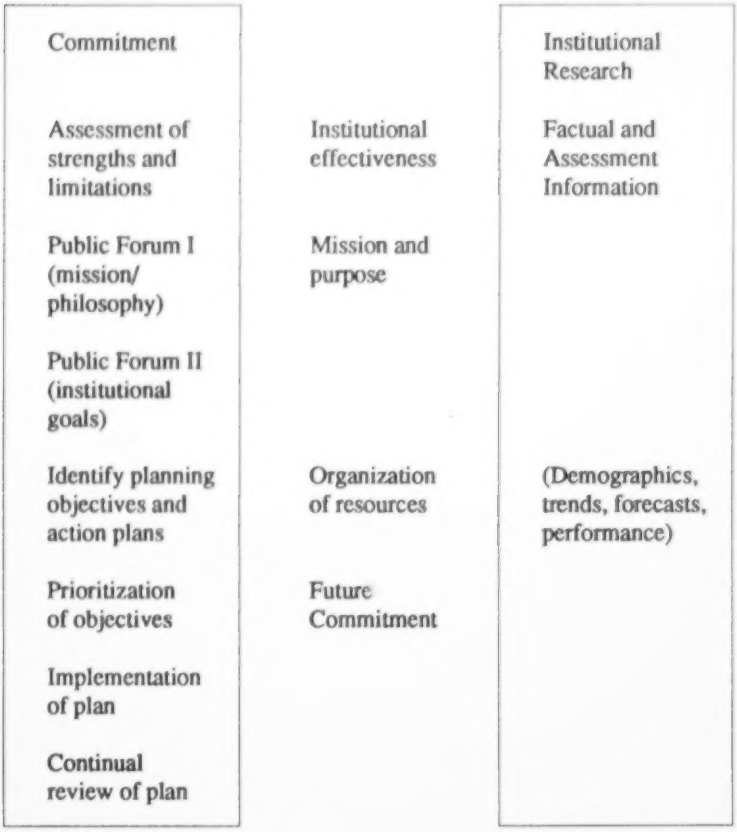
Process

The distinction between self-study and long range planning is simply a matter of perspective. As we interpret the self-study within the context of the four criteria, it

Daniel Brobst is Department Head, Adult Vocational Education, Hawkeye Technical Institutie (IA)

clearly surfaces as "descriptive and evaluative" in purpose. Long range planning, on the other hand, utilizes such descriptive and evaluative information to construct a document which is "prescriptive" in purpose.

The following model illustrates a strengthening dimension to long range planning when an in-depth self-study becomes an integral component of the process.



Conclusion

Since planning demands that there be appropriate information available prior to making choices between alternatives, it is a logical deduction that a North Central Association self-study is a necessary and critical component of the long range plan. If the long range plan is to be a functional document, which has an impact on institutional quality, the evaluative substance of an institution's mission, performance, resources and future commitment must be challenged on a continual basis.

Using the Self-Study Process for Institutional Improvement

Margaret B. Lee

It is widely accepted that the process of accreditation exists for two reasons: to ensure quality and to stimulate the improvement of programs and/or institutions. In fact, the emphasis on integrating the process of self-study into the life of the institution is clearly more important than producing the document which is reviewed by the team in preparation for the on-site visit. The on-site visitors are called not simply evaluators but consultant/evaluators; they are directed—apart from and in addition to their mandate to certify the institution's compliance with the General Institutional Requirements and measure the extent to which the institution meets the four Evaluative Criteria—to offer advice and suggestions which may be used for improvement of the institution.

As a consultant-evaluator I have had the opportunity to visit many institutions and in the process to review responses to advice and suggestions made by previous consultant-evaluators and to offer in a consultative capacity, together with other members of the teams which I have chaired or on which I served, advice and suggestions for institutional improvement. I think it will be instructive to examine selected examples in a variety of areas ranging from problems in organizational structure and communication to academic quality, board/president relationships, fiscal accountability, long range and strategic planning, and collective bargaining tensions.

As a member of the steering committee of an institution which has just completed a two year process of self-study and undergone a reaccreditation visit, I would like to share some of the strategies our institution designed to undertake and complete the self-study to ensure that the process would be integrated into the life of the institution and lead to specific, on-going improvements. I will share some of the specific goals for improvement; some of the unanticipated improvements which occurred; some strategies and tactics that worked best in preparing for, conducting, and writing the self-study (and what didn't work so well); and speculate on what will probably happen in terms of institutional improvement from now until 1997-98 when the next accreditation visit occurs.

While my experience has been mainly with two year colleges, many of the examples represent problems/issues generic to all of higher education. Opportunities for questions/discussion and resource materials will be available.

Margaret B. Lee is Vice President for Curriculum and Instruction, Oakton Community College (IL)

Using the NCA Self-Study to Build on a Strategic Planning Base

Joe Birmingham

Yavapai College recently completed the North Central Association self-study and site visit. The college was subsequently granted continued accreditation. The self-study provided the institution an opportunity to examine itself in light of changes which took place during the past seven years. A recently completed strategic plan served as the base for examination, and the self-study process also gave the college a vehicle for inquiry regarding issues not examined during the strategic planning process.

The purposes of the self-study were to acquire continued accreditation, to advance the institution using the strategic plan as the foundation for the self-study, to inform and educate employees regarding the present status of the college by involving them in the self-study, to document an on-going strategic planning process, to explore implications and results of key directions in the strategic plan, to identify concerns not identified or addressed in the strategic plan, to summarize the strengths and weaknesses of the college, and to focus attention on institutional concerns and plans for the future.

Two and one-half years prior to the self-study, Yavapai College involved itself in an extensive strategic planning process. In view of this comprehensive process, it was proposed that the results of strategic planning be used as a foundation for the self-study. The purposes were to maximize institutional benefits already gained from strategic planning while further improving the college through the accreditation self-study and on-site visit.

The analysis, investigation, and/or review of various assigned areas were conducted by the Steering Committee and by ten task forces. The self-study task forces were used where extensive additional participation, program self-analysis, and in-depth study and involvement promised to be of benefit. In areas where the college had recently completed a comprehensive assessment, the Steering Committee conducted a brief review and prepared the report. The Steering Committee was comprised of members of the college Planning Council and others from the college community, which insured broad and representative membership.

Particular areas of study included a) enhancement of relationships with communities through needs assessment, marketing, follow-up studies, and student recruitment;

Joe Birmingham is Vice President for Instruction and Student Services, Yavapai College (AZ)

b) distant delivery of educational services; and c) effectiveness and efficiency of overall operation through improvement of performance and achievement.

The self-study was outlined as follows:

I. Introduction

- A. Purposes
- B. Process for the Self-Study Report
- C. Other Aspects of the Self-Study

II. Criteria for Accreditation

- A. Evaluative Criterion One
- B. Evaluative Criterion Two
- C. Evaluative Criterion Three
- D. Evaluative Criterion Four

III. Summary

Each of the ten task forces conducted a thorough review of the process and outcomes of strategic planning. Their work then focused on interrelating the NCA Evaluative Criteria with outcomes of strategic planning.

The results of the self-study were most gratifying and meaningful for Yavapai College. The self-study achieved its primary purpose—to validate outcomes of the recently conducted strategic planning process and to discover any areas of concern not identified in strategic planning. The design of the self-study was very supportive of one of the primary goals of accreditation—institutional improvement.

The college now has two major planning and self-improvement studies, strategic planning and accreditation outcomes, to guide it in the near future.

Self-Study: Key to Successful Institutional Renewal and Change

David J. Mason

Picture if you will three kinds of institutional challenges—challenges of the type that have affected or may affect many of the colleges or universities participating in this 1988 Annual Meeting of the North Central Association. They are challenges that have occurred at Wisconsin's Beloit College over recent decades. And in each instance, a self-study process has played a significant role.

1. First, how does an institution bring about a metamorphosis of a scope that will move it from a status of regional distinction to ranking as an institution of stature and increased recognition on the national scene?

2. Next, how does an institution use an on-going self-study process to monitor its changing character and status—and also to assess any warning signs that may threaten fulfillment of its vision (or possibly its very existence)?

3. Finally, how does an institution that has risen above temporary adversity to a new level of excellence and financial stability continue its momentum in a way that will enable it to meet the new and growing challenges now facing higher education?

This presentation will seek to use three such examples in the recent history of Beloit College to demonstrate how the quality of institutional self-study and planning can directly affect the quality and influence of that institution far into the future.

Beloit College, which calls itself the oldest college or university in the state in continuous service, was, in fact, founded before there was a state of Wisconsin. Throughout much of its history, it was a traditional small liberal arts college with its share of ivy-covered buildings and nostalgic traditions—known over the years for things as distinct as archaeological explorations to North Africa, a freshman-sophomore greased pole fight so spirited that it attracted the attention of *Life Magazine*, and a commitment to the kind of solid teaching and caring environment that characterize many such colleges in our land and that continue to produce an occasional U. S. Senator or cabinet minister, an athlete good enough to make the big time, and lots of corporate leaders, teachers, and otherwise good and useful citizens. Beloit has always been non-

---

David J. Mason is Assistant to the President, Beloit College (WI)

sectarian by charter and staunchly independent, but until the mid-1960's it was rarely innovative in a curricular sense or very diverse in its community makeup. It was mostly a friendly and reliable place of good teaching—mostly of upper-middle class students from Wisconsin and Illinois. It was not unlike many other aspiring small schools of high standards, but never quite enough resources.

In the 1950's, perhaps in anticipation of the winds of change and dissatisfaction that soon were to sweep across the world of higher education, Beloit College inaugurated (with the help of the Ford Foundation) the most comprehensive period of self-study in its long history. The aim of all this activity was not to preserve its NCA accreditation, but rather to reshape and refocus Beloit's traditional liberal arts program in a new way. It was to help students "break the lockstep" within the education system—to create a better kind of liberal arts program, one so good and so different that it would attract and enrich the undergraduate learning experience of a sharply expanded student body—and also attract a good deal of national attention. It is worth noting that Beloit embarked on such a commitment to self-study when the College's successes of the moment and relative prosperity might have argued against a need for it. This period of intensive self-study of almost 25 years ago culminated in the introduction of the "Beloit Plan"—a far-reaching reappraisal and reorganization of Beloit's traditional liberal arts curriculum, calendar, and pricing structure. The development of the Beloit Plan and the high hopes attendant to its creation were the subject of a favorable North Central accreditation review two decades ago. This NCA report of the 1960's commented particularly on the solid basis of self-study and long-range planning that preceded the College's decision to implement its far-reaching new plan—a plan described in a 1963 article in *Liberal Education* as "Beloit's Recipe for Revolution."

Proceeding from an intent to transform Beloit from a good regional liberal arts college into a first-class single purpose institution of truly national stature, this self-study process was, as noted above, designed to be far more than an exercise occasioned by an NCA accreditation evaluation. It also symbolized for the entire campus community a desire to embark on a pioneering new venture in liberal education. In the words of the North Central team evaluators of two decades ago, Beloit's extensive self-study process of those days resulted in a fresh approach to undergraduate learning—an innovative package that was to bring together a number of diverse elements in "a new and frankly experimental way."

The NCA team cited the program's added benefits—all resulting from that self-study process and what it had created: "increased institutional visibility and ability to attract students because of the unique values which they expect to find in the program; the ability to attract and hold faculty who desire to engage in a creative and pioneering effort; and the ability to attract financial support because of the particular appeal of certain elements or of the Beloit Plan as a whole."

A significant part of the self-study and planning process of that period was a recognition of the need for evaluation of outcomes and a built-in capacity for correction—in other words, the ability to carry out a successful strategic retreat should a part or parts of the program be found inadequate (as indeed happened at Beloit).

Therein lies one of the most significant benefits of the type of required periodic institutional self-study and outside evaluation as is conducted by the North Central Association and similar evaluative and accreditation bodies. It is a benefit that is worth emphasizing again and again at meetings such as this.

By taking seriously the NCA-mandated self-study and planning process at the time it was seeking to transform its own vision for the future into reality, Beloit College was building a foundation which was to stand the college in good stead during the succeeding years of the 1970's. For during that period, unforeseen factors—both internal and external—threatened to lay waste to "the best-laid plans" prepared by Beloit's faculty and staff during the previous decade.

The continuing evaluation of Beloit Plan outcomes, particularly as they were shaken by the impact of unexpected outside forces like the Vietnam War and its attendant unrest in the 1960's and early 1970's, helped Beloit adjust to some harsh realities (financial and other) that were to shatter the carefully worked-out projections of the Beloit Plan creators. This evaluative process prompted a concerned college community to develop a new kind of plan—one first designed to guarantee survival and then one which was to lead the college to hard-won prosperity in the challenging climate for higher education that we all face in the 1980's and 1990's.

To summarize at this point:

1. Self-study and related planning of the most comprehensive kind permitted Beloit College to develop and fund one of the most far-reaching experiments in liberal arts education of this century—a new plan that attracted both national media attention and the attention of many other educators from coast to coast.

2. Continuing and critical self-study and formulation of a crisis management strategy helped "save" the college when some of the major support pillars for its new plan weakened (e.g., failure of new student growth projections to reach anticipated levels, failure of outside foundation and other gift support (needed to undergird development of what was turning out to be an expensive, albeit excellent, program of undergraduate liberal arts education) to meet expectations; and the self-doubts and shifting support by an ever-changing faculty, administration, and student body). The critical nature of this in-place evaluative process was cited in Beloit's 1976-77 NCA report which came at a time when the college's fortunes were in a decline.

3. A most recent round of introspection, prompted by Beloit's 1987 evaluation visit by NCA, gave the college not only the statistical foundation for a successful evaluation team visit and a subsequent highly favorable report, but set the stage for an even more important and on-going strategic planning process—one designed to carry Beloit to the top rank of America's strong independent liberal arts colleges by the time of its sesquicentennial eight years away.

The success of all three of these important self-study efforts, conducted over more than three decades, seems related to a commitment made in each instance not simply to conduct a self-study for its own sake or to satisfy current or future NCA accreditation requirements, but to regard it as essential to the on-going advancement of the institution in a highly competitive time for most small private colleges.

In the hope that it may be helpful to others at this meeting, the balance of this paper will outline some of the steps taken at Beloit to organize and carry out the college's recent comprehensive self-study and discuss aspects of that process. This particular self-study took place during 1985-86, in expectation of an NCA team visit in 1987. How did the college effectively combine this self-study effort with the start of a new strategic planning initiative that continues with much vigor today? What lessons from the recent and continuing Beloit experience may be useful to those from other institutions now contemplating or embarking upon institutional self-study programs or considering how best to coordinate them with long-range strategic planning? And how can one do all this on a shoestring budget?

Among the steps that we at Beloit undertook early on were the following:

- We appointed a genuinely broad-based self-study committee including faculty, administrative officers, students, alumni, and trustees. I was appointed to coordinate the study.

- We thoroughly reviewed recommendations regarding self-study procedures and expectations prepared by the NCA, and we studied examples of institutional evaluation projects conducted at colleges similar to Beloit.

- We made a special effort to orient our self-study committee members to the scope of their task and to assign areas of follow-up responsibility for the study itself; and we tried to make sure that members of the committee were thoroughly familiar with the scope and findings of past such self-studies at Beloit and their implications for the current study.

- We also asked the officer responsible for each major operating area of the college to prepare an in-depth status report and appraisal for presentation to the committee early on, to serve as a common data base for subsequent more particular studies to be undertaken by the committee, and to help measure our self-study's progress.

- We established special task forces in several key areas of the study to develop, administer, and evaluate the most comprehensive surveys of college faculty and academic departments ever undertaken at Beloit, and at the same time developed corresponding surveys of administrative staff, students, and trustees.

- We established early contact with members of our NCA evaluation team to keep them informed of progress in our self-study, and at the appropriate time sent an

outline of our report to the chair of the visiting team for suggestions; we also compiled extensive statistical and other supporting data to support the conclusions of our study for sending to the team in advance of the visit or for their reference use on site.

- We agreed early in our planning that the thrust of this current Self-Study Report would be to document the remarkable turn-around story of Beloit since the time of its last NCA visit a decade earlier and to help position the college for an even brighter future by making sure that an on-going strategic planning process was firmly in place. Indeed, as was stated in the introduction to our committee's report submitted to the Commission in January of 1987, "the decade since the last NCA team evaluation of Beloit College has been characterized by a turn-around in status that may be unsurpassed by any small college in the nation. The beginning of that decade found Beloit at a crossroads in terms of institutional identity, personnel, campus morale, and financial stability. The end of the decade finds the college transformed to what by many measures is its strongest position in history."

Looking back, it is easy to recognize that the self-study and long-range planning committee tasks at the beginning of the decade and at the end were, of necessity, much different. In the mid-1970's, the self-study and its ominous overtones provided a sobering directive for trustees, faculty, and staff to plan a way out of significant difficulties that, but for such a commitment to planning and the hard decisions growing out of the process, would have placed the future of the institution itself in great jeopardy. By contrast, Beloit's most recent self-study enjoyed the luxury of being both an endorsement of the successful results of the previous planning effort and a fresh appraisal of an institution which had risked much in trying to achieve a vision, had almost lost its way for reasons not fully of its own making, and had used the experience to achieve a new level of institutional strength and vitality that has well-positioned the college for continuing advancement.

It was from this position of relative strength and optimism—and in keeping with Beloit's long tradition of self-study and innovative planning—that the decision was made by President Roger Hull some two years before the NCA visit to create the type of self-study committee that could gracefully evolve during the months of the study from a research and evaluation body to one poised to do significant strategic planning for the future—planning that would carry Beloit well beyond the concerns of the here and now to the fulfillment of a new vision for this historic college as it approaches the 21st century. With continued reliance on this spirit of self-study and built-in commitment to long-range planning, Beloit College now faces the future with much confidence. As an alumnus of Beloit, I sometimes shudder to think how different and less promising that future would be had it not been for this commitment. I recommend it highly to each of you.

Using the Commission as a Process for Strategic Planning and Self-Study

William M. Wiebenga

The key to using the self-study process for institutional improvement is to make certain that the process is integral to the on-going, day-to-day life of the institution. If self-study processes fail to result in institutional improvement, it is because the processes are pursued mechanically and artificially-imposed on the normal activities of the institution.

The Commission process, by its very design, is integral to the on-going, day-to-day life of an institution. There are six major conditions relating to this process which assure that this is the case. First, a commission is formed only when an institution has achieved a communal self-consciousness regarding its major problems. Second, a commission is formed under the joint authority of the Board of Directors and the President. Third, the membership of the commission is recognized as legitimate by the faculty and student body. Fourth, the commission process is procedurally open, but directed toward specific results. The results take the form of a report consisting of specific recommendations for actions that address the communal perception of the institution's problems. Fifth, the ownership of the report of a commission is transferred to the total community. Sixth, a very thorough plan for the implementation of the commission's report is developed.

First, a communal self-consciousness regarding an institution's major problems must be achieved. This is accomplished through creating a variety of opportunities for dialogue among the various constituencies on campus. At any point in time, each constituency, i.e., members of the Board of Directors, administrators, faculty members, and students, will have rather specific perceptions as to what is problematic within the life of an institution. Alumni, parents, and friends of the institution will also have their perceptions as to what is problematic. What is essential to the success of a commission is that there should be consensus concerning what the problems of the institution are, and the relative importance of these problems to the achievement of the institution's mission and purposes. Dialogue involving small groups, the membership of which is representative of the various constituencies, is the best method for building this consensus. While the dialogue is conducted within small groups, it is done so with the understanding that the results will be shared generally. It is, therefore, conducted

---

William M. Wiebenga is Provost, Wittenberg University (OH)

with a specific focus and with an eye toward achieving specific outcomes that can be shared with the larger community. It is as these specific outcomes are shared, whether in plenary sessions, or in campus-wide reports, that a communal self-consciousness begins to form as to what is problematic in the life of an institution.

The formation of a commission should occur in the context of a charge that is specifically prepared to create the commission and define its work. The charge to be effective must carry the authority of the Board of Directors, and must be signed either by the chairperson of the Board, the President of the institution, or both. In addition to setting forth the specific expectations of the commission, the charge should delineate the membership, state the problems to be addressed, and specify the time frame within which the work of the commission is to be completed.

The membership of the commission must be such as to command the respect of the community. This is essential to generating a broad base of support for its work. The respect for the membership of a commission can, in part, be assured through using procedures to select the members that confer legitimacy. It is important especially in the case of faculty and student membership on the commission that members be chosen to represent those constituencies. This requires that at least a portion of the faculty and student membership be elected. But, it is equally important that those members of the faculty and student body who have the vision to evaluate faculty and student interests in a broader institutional perspective, be represented on the commission. Moreover, especially when there are divisions based on age, or rank, or gender, or race, it is important that these be balanced in the membership of the commission. Thus, it is important that not all members of the commission be elected, but that along with the appointment of directors and administrators, some of the faculty and student members should also be appointed.

The procedures of a commission should promote openness. It is important that a broad cross-section of the campus community develop a sense of contributing to the process. This can be accomplished through the use of a complex structure of task forces and sub-committees. This structure should reflect an appropriate division of the task into its logically separable parts. During the working phases of the sub-committees and task forces, there should be open and repeated exchanges with the membership of the community. The purpose of the exchanges should be not only to encourage dialogue, but also to tap the insights of the total community in formulating recommendations for the solution of the institution's problems. It is only as recommendations are finally deliberated upon within the commission itself that some need for confidentiality may arise. Throughout the entire process, a focus on achieving specific results should be maintained. This can, in part, be done by setting timelines for subcommittees and task forces to report initially on a broad range of options that may be under consideration, and finally, on a specific set of recommendations.

Once the Commission has developed its final report, it is important that the commission itself should quickly deliver itself of the results of its labors, and that the community as a whole should take ownership of the report. This can be done symbolically through

a formal campus-wide ceremony at which the final report is officially transmitted to the President. Such a ceremony should be followed up by official actions on the part of the Board of Directors, the faculty governing body, and the student governing body receiving the report. At the same time that these actions are taken, it should be clear where the major responsibility for implementation lies and the general nature of the procedures that are to be followed to accomplish the implementation of the report.

Finally, a thorough plan for the implementation for the commission's report is necessary. The responsibility for the development of the plan should be clearly fixed in a major administrative office. But the plan should be widely disseminated and should be formally presented to the institution's governing bodies and be officially received by them. The plan should consist of an identification of the agencies responsible for implementing specific recommendations, a listing of necessary strategies and steps, and a fixing of timelines for the actual implementation of the recommendations. In identifying agencies responsible for implementing specific recommendations, a conscious attempt should be made to relate the recommendations on which actions are needed to the existing governance and administrative structures of the institution. The recommendations of the commission's report must in effect be identified as the major agenda items for the existing structures of decision-making. This is essential for avoiding needless duplication of agencies and for assuring that the report's recommendations will, in fact, become items which are acted upon.

The self-study process is by its very nature an activity which occurs at least every ten years. The effectiveness of the commission as a strategic planning process requires that there be at least five years between the formation of commissions, but also that there be a commission every five years. A succession of commissions at five year intervals can contribute a high degree of coherence and organization to the change that is inevitable in the life of an institution. In the absence of a planning process involving commissions or similar agencies, institutional change becomes more the result of external forces, than institutional choices. A self-study that occurs as an isolated phenomenon on a ten-year cycle is of very limited usefulness. At the present time, this is a long span of time when viewed in the context of either the external conditions affecting institutions of higher education or the internal dynamics of an institution. By linking self-study to a succession of commissions, or comparable planning agencies, one can make certain that a self-study contributes significantly to institutional improvement.

Note: The term "commission" as used throughout this paper should not be confused with the Commission that is Commission on Institutions of Higher Education.—Ed.

An Integrated Approach to Institutional Self-Study: Strategic and Internal Planning at Northern Michigan University

Ruth D. Roebke-Berens

Over the last three years, Northern Michigan University has developed an innovative, integrated approach to planning. This approach was designed to meet multiple objectives: to strengthen curriculum and to establish a more rational planning process; to propel the University into its second century of service to the people of the region and state; to have the University act as a catalyst for the region in all areas of civic, economic, and cultural life; to provide a broader base of financial support for University programs and activities.

Background to the Self-Study Process

Northern Michigan University is a medium-sized, state-assisted institution of higher education located in Michigan's beautiful but geographically remote Upper Peninsula. It currently serves 8,000 students in a variety of liberal arts, teacher education, business, and technical programs.

The national and state recession of the early 1980's led to a decline in enrollments as students from downstate elected to attend institutions closer to home and students from the sparsely populated Upper Peninsula could not be expected to make up this loss. A series of seven budget cuts from the state government led to the loss of numerous faculty and staff positions. The economy of the state began to improve in 1983 and enrollments began to stabilize. Nevertheless, administrators recognized that the University could no longer simply react to events but must move on a number of fronts to control its own future.

Institutional Self-Study at Northern Michigan University

Self-study at NMU has taken the following directions: 1) the establishment of a 250-member Commission on the Future; 2) the inauguration of an internal planning process for all divisions within the University; 3) the institution of an academic program review

Ruth D. Roebke-Berens is Assistant to the President for Strategic Planning, Northern Michigan University (MI)

process for all departmental programs on a continuous five-year cycle; and 4) the preparation of a new mission statement for the University.

The Commission on the Future of Northern Michigan University, organized in late 1985, was composed of 250 individuals from business, labor, and the professions who volunteered their time, expertise, and expenses to assist the University. The Commission was organized into twelve task forces and met as a whole three times in 1986. Each of the twelve task forces met from four to six times, with many individual subcommittee meetings. They interviewed administrators and program directors, held hearings for faculty, staff, students, and members of the community. They conducted seven separate surveys to gain information. The Task Force on the External Environment conducted an environmental scan of national, state, and regional trends expected to have an impact upon the University. The Final Report of the Commission consisted of 169 recommendations and was widely distributed.

The Commission report triggered the internal planning process. Each of the 169 recommendations was referred through members of the President's Council to the appropriate individual, committee, or governance body for action. In February of 1988, members of the President's Council reported on the status of the recommendations. They are now formulating plans for their respective divisions and setting priorities for action.

The academic program review process began three years ago. Each year approximately five departments are reviewed. The review includes an evaluation of departmental objectives, curriculum, faculty advising, facilities, resources, administration, and support services. It focuses upon educational quality, measured by program results. The department under review prepares an extensive self-study, and an outside consultant conducts an on-site visit and prepares a written report. Ultimately, the department head meets with the school dean and the Vice President for Academic Affairs to establish future short and long-range goals and objectives for the program.

The University is currently redefining its mission statement. The recommendations by the Commission on the Future, implications of the environmental scan, results of the Academic Program Review, combined with extensive interviews with faculty, staff, and students, are factors contributing to a redefinition of the mission of the institution.

Desired Outcomes of Institutional Self-Study

The integrated approach to self-study at Northern Michigan University has led to the following outcomes:

1. Recognition that innovation and change are necessary to the on-going vitality of any institution of higher education.

2. Understanding that strategic and internal planning can be used to strengthen academic programs and services.

3. Appreciation of the role of external supporters in aiding the mission and goals of an institution.

4. Recognition that an integrated approach is relatively simple and inexpensive, involving both faculty and staff as well as external supporters of the institution.

5. Realization that strategic and internal planning provide greater visibility to an institution which can aid in fund-raising activities.

CHAPTER IX

DATA COLLECTION

How Can an Institution Maximize its Analytical Support for the Self-Study?

Susy S. Chan

Analytical support for the self-study is often construed as data collection. This presentation, however, will examine ways an institution can maximize the utility of analytical support for self-study in a much broader context. Consistent with the North Central Association's increasing emphasis on Evaluation Criterion Four, the philosophy underlying this presentation is that a self-study is most useful when it is linked to the institution's planning process, whether as an extension of an ongoing process or as a preparation for a new planning process.

When the self-study is viewed as a one-time effort, responding principally to the external demand, analytical support often means frantic data collection for a series of unrelated studies. But when the self-study becomes a part of the institutional decision process, analytical support tends to convey a much greater variety of inquires and integrate a wide range of data. Given this overall framework, strategies to maximize analytical support can be examined in three dimensions—the organizational design, the informational needs, and the utilization of information.

Organizational Considerations

Analytical support for an institution-wide self-study can come from various sources. Institutions with organized institutional research offices are most likely to rely on such operations for data and analytical support. Whether operating in a centralized or decentralized design, institutional research as practice and profession, is in transition. Two models, different from the reactive mode of data gathering and reporting that characterizes traditional institutional research operation, are gaining acceptance. One moves toward the role of strategic planners. The other capitalizes on the role of information center as a liaison between users of information and computing technology. Institutional research offices that adopt the planning model are more likely to contribute directly to an integrated self-study process. Those serving an information center's role will contribute more effectively in coordinating information requests and addressing data issues than providing direct analytical support.

The location of institutional research offices or functions within the organizational hierarchy is also indicative of the level and type of analytical support. An office

---

Susy S. Chan is Director, Office of Institutional Planning, DePaul University (IL)

reporting to the chief academic or financial officer, or to the chief computer systems manager usually adopts a different organizational design and demonstrates differing expertise. Increasingly more institutions are adopting the planning model and have institutional research function report directly to the president or coordinated by the president's office. This approach allows an institution to integrate its analysis for strategic planning, budget analysis, and program review, and self-study.

An Inventory of Data Sources and Analytical Studies

The types and nature of data needed for planning, evaluation, and decision making are significantly different from data for management and operational control. Information required for strategic planning is largely externally oriented, covers a very wide scope of activities, demands a relatively high level of aggregation, emphasizes a future time horizon, as compared to highly current and accurate information about discrete activities that are required for operational control purpose. Four instruments that are useful to strategic decision making will be reviewed:

1. Comparative institutional profile of student size and mix, selectivity, admissions scores, tuition and fee charges, faculty size, tenure rate, average faculty salaries, size of endowment, operating budget, per FTE endowment and operating expense;

2. Analysis of market share, institutional positioning, and image assessment;

3. Analysis of multi-year financial rations and trends, both for internal trends and for cross-institutional comparisons; and

4. Assessment of academic workplace in relation to institutional mission, faculty and staff preferences for priorities, and perceptions of institutional image.

These studies can be developed by using existing data and readily available instruments. An inventory of data sources, limitations of these sources, and sample studies will be provided at the presentation to assist institutions that do not have an IR office to develop their analytical capability with minimal investment in resources.

Utilization Issues

To get the most out of the analyses, a self-study should start with the design and the development of supporting analyses. An integrated self-study assures that the results of analyses are more likely to be used. This requires a more selective and focused approach to data collection and analyses as contrary to comprehensive surveys of alumni, faculty, and students, typical of data collection for accreditation reviews. Several additional strategies are also important to maximize utilization:

1. Involve institutional constituencies and decision makers in the design of studies,

2. Review results and generate recommendations within the existing management structure, in addition to special committees established for the self-study, and

3. Communicate results of the studies and subsequent actions in both written and oral forms by executives and academic deans.

Several examples from DePaul University's 1986-87 self-study will be shared with the audience in addressing these three issues.

Data Collection: Using Locally Developed Instruments to Assess Your Institution

Denis Roark

Since the primary function of a self-study is to assess the institution's strengths and areas of concern, the manner in which the assessment is conducted becomes of great importance. Many institutions rely on locally developed questionnaires to obtain information. Well devised instruments can clearly identify strengths and areas of concern. Poorly designed instruments may only hinder the self-study process.

When Eastern New Mexico University - Roswell began working on its self-study, one of the most challenging issues involved survey instruments. The first decision had to be made on whether to use locally developed instruments or purchase instruments available from one of the testing services. A decision was made in favor of developing our own instruments to assess our institution. From that point a multitude of other decisions had to be made. I believe other institutions can benefit from our experiences in developing instruments to assess our institution.

On the surface, one may assume that developing local instruments would be a fairly simple process. It appears to be a simple process of writing some questions, giving a questionnaire to a targeted audience, and tabulating the results. As with most endeavors, what appears fairly simplistic often conceals a much more involved task. Some of the elements involved in developing local instruments include: 1) objectives for each questionnaire have to be determined; 2) the wording of each question has to be studied carefully for semantics and bias; 3) the questionnaire has to be placed in a logical format; 4) the type of response modes has to be determined; 5) the appropriate scales for responses have to be determined; 6) the population to be targeted has to be selected; 7) the sample has to be selected; and 8) the means of distributing the instruments has to be carefully considered. All of these tasks must be included (and properly implemented) in the process of developing local instruments. Otherwise, the institution runs the risk of obtaining invalid results.

Some of the overriding issues in developing local assessment instruments are: 1) the formulation of objectives, 2) avoiding problems of semantics in the questionnaire, and 3) reducing bias in the questionnaire. Now, let's examine each of these three areas in more detail.

Denis Roark is Assistant Dean of Instructional Support, Eastern New Mexico University-Roswell (NM)

Objectives

The first step in developing local instruments is to clearly state your objectives (or purpose) for obtaining the information. As you develop your questions, check each question against your stated purpose. All questions should relate directly to the purpose. If they don't, they should not be used. This also means that you must plan in advance how the information from each question will be used in the final product.

In identifying the objectives of your questionnaire, it should be noted that survey instruments are especially helpful in identifying **perceptions.** For example, a survey could be used to determine student perceptions of the services available from the financial aid office. Surveys are also helpful in identifying **knowledge.** A survey could be used to determine if students are aware of the types of loans and grants available from the financial aid office.

Semantics

One of the more challenging aspects of constructing local assessment tools is: How does one avoid the problems created by semantics? One problem involving semantics is asking a question that is too general in meaning. A question that is too general will lead to conclusions that are overly generalized. Each question must focus on a particular issue.

The researcher should eliminate or define terms that are open to interpretation. For example, the use of the phrase "general education" could be interpreted differently by different individuals. Before using this phrase, it should be defined so that the respondent understands how you are using the phrase.

Each word in a question must be considered carefully for problems in semantics. After the questionnaire is developed it should be tested with a small group to determine if anyone had problems in understanding the questions. If some people did encounter problems, then you must attempt to correct the problems before the instrument is distributed to the target population.

Bias is a factor that can be introduced at any point in the process of developing local assessment instruments. In developing questions, the researcher should maintain a neutral position on the issues. Questions should be worded in such a manner that the respondent is not aware of how he/she "should" answer, or be led in a particular direction in answering a question. Another area where bias can be introduced into the questionnaire is in the options for selecting an answer. In forced-response questionnaires involving opinions, the respondent should have an equal opportunity for negative and positive responses. For example, if there are two possible positive responses, then there should also be two possible negative responses.

Yet another area for introducing bias in a survey is in selecting the sample from the target population. Care must be taken to ensure that all subgroups of the target popu-

lation are proportionally represented in the sample. For example, if students are your target population, then your sample should contain approximately the same proportion of male and female students as is found in the total student population.

Conclusion

If care is taken to formulate your objectives, eliminate problems of semantics, and reduce bias as much as possible, then you will find that developing local assessment instruments a very rewarding experience. You will be able to identify areas of strength and concern with precision. This, in turn, will strengthen your self-study and assist your institution in addressing some of its problems while emphasizing its strengths.

CHAPTER X

WRITING THE SELF-STUDY REPORT

Writing the Self-Study Report

Terry Hetrick

Institutions desiring initial or continued NCA accreditation are faced with the responsibility of writing a formal report summarizing the results of its self-analysis. Unfortunately, the self-study report is often looked upon with disdain and/or fear, especially on the part of the report author. These ambivalent feelings can be readily eliminated if the process for conducting self-study has been carefully planned.

All institutional personnel involved in the self-study need to recognize that this endeavor can be a healthy and beneficial process. Two of the more readily apparent benefits which can result from the self-study process include achieving initial or continued accreditation and improving institutional master planning. By gathering information which describes where the institution has been (its history), where it is (its current state of affairs), and where it plans to go and/or what it plans to become (its futuristic perception), the institution is conducting research for both the NCA self-study and its own institutional master plan.

If one element of institutional self-analysis can be singled out as most important, it is the research efforts of the study committees. Good self-studies are first and foremost accurate summaries of honest research. Institutions undertaking self-analysis should follow the NCA guidelines encouraging institution-wide participation in the research phase of the analysis. In addition, the Combined Data and Evaluation Form (CDEF) which is available from North Central provides useful research questions relevant to the nature of the institution. This format provides pertinent questions regarding the four Evaluative Criteria.

Once self-analysis has been completed, the task of summarizing the research findings into the Self-Study Report begins. This phase is often complicated by the choice of the "right" reporting format. Regardless of the format selected, the institution's response to the four Evaluative Criteria, the thirteen NCA General Institutional Requirements, completed Basic Institutional Data forms and the Statement of Affiliation Status must be included in the report.

To assist those who may be in a quandary regarding the selection of the "right" reporting format, the following outline is suggested.

Terry Hetrick is Dean of Instructional Services, Otero Junior College (CO)

I. Table of Contents (and Preface, if desired)

II. Chapter 1: Introduction

A. Profile of the institution, its service area and student population

B. Purposes of the Self-Study

C. The Self-Study Process: may include such information as
   1. Timeline of the study
   2. Identification of study committees, a brief description of their tasks and their membership

D. Organization of the Self-Study Report: brief description of how the report is organized or a list of chapters

E. History of the Institution's Accreditation

F. Responses to Concerns of Previous Evaluation Team

G. Changes and Significant Developments Since the Last NCA Evaluation: may include a year-by-year listing of major changes providing a snap-shot view of institutional development

H. Significant Aspects of the Institution

III. Chapter 2: Evaluative Criterion One.

This chapter should:

A. Cite the mission and purpose statements;

B. Document that the mission and purpose statements are clearly and publicly stated;

C. Document that the purpose statements are consistent with the institutional mission; and

D. Document that the mission and purpose statements are appropriate to a postsecondary educational institution.

Note: if the institution's mission and purposes are determined to be inadequate, the resulting self-study may be less than satisfactory for both the institution and NCA. If these documents are determined to be inadequate, unmeasurable, or inappropriate, this knowledge needs to be utilized prior to the research phase of the self-study.)

IV. Chapter 3: Evaluative Criterion Two.

This chapter should address the following information:

A. Human Resources are effectively organized to accomplish the institution's purposes

1. Organization of Administrative Resources
2. Organization of Instructional Resources
3. Organization of Support Personnel Resources
4. Organization of Institutional Committees

B. Human Resources are adequate to accomplish the institution's purposes
   1. Adequacy of Administrative Resources
   2. Adequacy of Instructional Resources
      a) Full-time faculty profile
      b) Part-time faculty profile
   3. Adequacy of Support Personnel Resources

C. Financial Resources are adequate to accomplish the institution's purposes

D. Physical Resources are adequate to accomplish the institution's purposes
   1. Facilities
   2. Instructional Equipment
   3. Learning Resources

E. Statements on the strengths and concerns of the institution's organization and its human, financial, and physical resources
   1. Organizational Strengths
   2. Organizational Concerns
   3. Human Resource Strengths
   4. Human Resource Concerns
   5. Financial Resource Strengths
   6. Financial Resource Concerns
   7. Physical Resource Strengths
   8. Physical Resource Concerns

Note: At the end of this chapter, supporting charts or tables relevant to the information presented in this chapter could be included.

V. Chapter Four: Evaluative Criterion Three.

This chapter should provide:

A. Appropriate documentation to prove that each of the institution's declared purpose statements is being achieved; and

B. Appropriate documentation to prove that each of the thirteen NCA General Institutional Requirements is being met by the institution.

VI. Chapter Five: Evaluative Criterion Four.

This chapter should address:

A. The planning processes and efforts in preparing the institution for the immediate and far-reaching future;

B. The interrelationship of the information gleaned from this self-study and the institutional master planning process and its resultant futuristic expectations; and

C. Concluding remarks on the self-study

VII. Statement of Affiliation Status and Basic Institutional Data Forms

Note: All self-study reports should aim to be no more than 150 pages including all supporting documentation (charts, graphs, data forms, etc.).

Last and certainly not least, authors of upcoming Self-Study Reports are strongly encouraged to contact other institutions to obtain copies of their reports. After all, it makes good sense to learn from those who have recently undertaken this important task.

Writing the Self-Study Report

Earl R. Alton

The Self-Study Report, the single most important document prepared in the reaccreditation process, presents an overview of the total institution to reviewers and to the public. Organizing and writing the Self-Study Report therefore becomes a major undertaking requiring cooperation of the entire college in as much as the report presents the story of the college and informs the various constituencies of its strengths and area in which improvement should be made.

While the preparation of the report will be a unique experience. For each institution, there are a number of facets in the preparation of the Augsburg Self-Study Report which are of general applicability and will be used as examples of the ideas presented. This presentation is based upon the question: What would have helped me as I coordinated the writing of our Self-Study Report?

The major responsibility for the preparation of the Self-Study Report rests with the Coordinator and members of the Steering Committee. In addition, the involvement of as many faculty as possible is important to establish a sense of ownership of the project among the community. We decided to have the members of our Steering Committee each head a subcommittee responsible for addressing the four Criteria for one sector, that is, one department or office, of the college. There are many ways of organizing the work but the responsibility of completely working through the Criteria for one sector worked effectively for us and was satisfying for the subcommittee.

Subcommittee discussions were also very important in establishing the schedule for assembling material. In particular, early decisions about surveys, collection of data, and interviews with persons on campus will pay large dividends. The earlier the Steering Committee can establish information needed, the smoother the process will be. This is especially important in designing questionnaires since development of the instrument can be time consuming and, in addition, the academic rhythm of finals and term breaks must be kept in mind. It is the Coordinator who must keep lines of communication clear and the process on schedule.

The four NCA Criteria serve as the overarching framework for the self-study. While there is clearly overlap in addressing each of the Criteria, they do establish the focus for the organization of the Self-Study. The Outline with its series of questions prepared by the NCA office was also of great help.

Earl R. Alton is Professor of Chemistry, Augsburg College (MN)

The Mission Statement of the institution is crucial as the starting point for the report. On one hand, almost everyone on campus knows roughly what the mission of the college is and will give at least superficial assent to it. On the other hand, our subcommittees wrestled, and required the community to wrestle, with the way in which the mission of the college directed the priorities and activities of each sector. We questioned faculty and staff as to their understanding of the Mission Statement and the congruence of college priorities with the stated mission. The Steering Committee's subsequent discussions on mission were among the most fruitful of our work. Each subcommittee was responsible for ensuring that its area presented its understanding of the mission of the college and for stating precisely how its activities were in congruence with the mission. It was not easy for any sector to establish congruence with mission but this exercise was among the most important facets of our work for it set the parameters for evaluation of activities and programs. Again, the importance of carefully comparing activities with mission cannot be overstated.

The chapter on resources and organization followed the chapter on mission. This chapter was assembled more easily since descriptions of resources were found in a variety of documents. Raising questions in this area was more difficult since so much appeared obvious and familiar. One helpful tool in understanding the organization and in generating questions was to present organization charts which summarized the responsibilities of persons under each of the vice-presidents. These charts also included the full-time equivalent staffing.

The chapter addressing Criterion Three, that is, presenting evidence that the college is accomplishing its mission requires careful discussion very early in the process. Each college will need to carefully consider how this will be approached. We used a combination of surveys, qualitative arguments, and community impressions. Here seeing the college with "new eyes" is very helpful.

The last chapter which demonstrated that the college can continue to fulfill its mission drew on the plans of individual departments, the general planning of the vice-presidents, the work of the planning committee of the college, and the work of the Development Office. All of these established the strength of the college for the future.

The Coordinator, serving as primary author, assembled and rewrote the drafts as material was presented. The Steering Committee commented on the sections as they were written and devoted an entire day to discussion of the first draft. These discussions were difficult, time consuming and absolutely essential.

An editor was hired from the faculty to make the text more uniform, set a common style, and correct inconsistencies in the text. This also served to have an additional person critique the entire Self-Study Report.

Institutions will have different ways of writing the Self-Study Report but it seems that whoever the writer is, that person should know the college very well, be unafraid to raise sensitive questions, be alert to see the college in new ways, and not have an ego problem with having writing critiqued.

We also found examination of other Self-Study Reports helpful in formulating questions, organizing topics, and presenting data, but these were useful only in a very general way. The NCA office was also of great assistance in making suggestions and in commenting on the general approach.

My presentation will conclude with an evaluation of the strengths and problems we encountered with the particular process we used at Augsburg.

Writing the Self-Study Report

Robert Chaffin
Thomas Herzing

Too often, institutions see the Self-Study Report required in the accreditation process as no more than a compilation of facts and statistics, primarily a task of collecting information. Yet nowhere is Dr. Samuel Johnson's dictum that "what is written without effort is read without pleasure" more true and more worth attending to, for the Self-Study Report offers an opportunity to provide the accreditation team with a context in which to assess goals, accomplishments, hurdles and opportunities.

The University of Wisconsin Oshkosh saw the requirement of a Self-Study Report as an opportunity to attain several related ends.

First, it was a chance to assess progress; the 1976 North Central accreditation team had visited an open-admissions university which was in transition, with a newly-adopted academic calendar, a strikingly innovative (but young) faculty development program, and a declining enrollment. When the 1986 self-study was begun, Oshkosh had become a vigorous and successful regional university with rigorous admission standards. Its faculty development program was recognized as a national model. Enrollments and applications were at an all-time high. It needed an opportunity to assess its progress, while providing the visiting team with a sense of how it had succeeded.

Second, the University had established a major planning process in 1980. The self-study would permit it to evaluate its progress toward meeting the 14 six-year goals it had set at that time. The Self-Study Report would also provide a context for the new planning activities which were to take place in January of 1987, shortly before the NCA accreditation visit.

Finally, we saw the writing of the Self-Study Report as a means of involving a broad range of faculty and staff in the assessment process.

The University chose to use writing teams representing all academic and service areas, and it focused its report on a single theme: "Meeting the Challenge."

Both proved to be good decisions.

Robert Chaffin is Director, Liberal Studies Program, University of Wisconsin-Oshkosh (WI)
Thomas Herzing is Assistant Chancellor for Administrative Programs and Services, University of Wisconsin-Oshkosh (WI)

The formation of the writing teams was based on several criteria. Involvement of large numbers of faculty and staff would create a body too large for regular or effective meetings; yet the University wished to afford as many faculty and staff as possible the opportunity to participate in the process of constructing the report. The coordinator therefore asked a representative of each major area to serve on a Steering Committee and as convenors, developing subgroups which would begin to gather together the basic materials for the self-study. For example, the associate dean for humanities created his own task force of department chairs to draft the report on the humanities division.

The choice of a coordinator was clearly critical: a sound Self-Study Report requires the leadership of someone with a solid understanding of the academic process and with considerable organizational, administrative, and writing skill. We also found it helpful to assign the role of coordinator to a faculty member, who was able to call upon considerable assistance and advice from colleagues.

It was necessary to ensure that the large volume of material coming in from the Steering Committee members be brought together and cast into a consistent mold, focused on the theme which had been established. A small writing team (four members) was appointed by the self-study coordinator. This so-called "advisory council" drafted materials and shared the task of critiquing them. We found that the writing team needed at least one member who was broadly familiar with the University, its administration, and its environment.

Ultimately, however, the task of producing the University's Self-Study Report fell most heavily upon the coordinator, since a single voice, style, and point of view were needed. Draft materials were circulated to deans, directors, and area administrators, and their corrections and recommendations were reviewed by the writing team; to the extent possible, recommendations were considered for inclusion in the report.

One of the most important stages in the process of writing the Self-Study Report was early and detailed reviews of the proposed drafts with both the Chancellor and Vice Chancellor. The reasoning behind the self-study was fully reviewed and endorsed by them early in the process, as was the theme. Sections of the developing report were provided to senior administrators as writing went forward. Dialogue with both the Vice Chancellor and Chancellor was constant. The final draft was written by the co-ordinator.

The resulting report met the University's purposes in conducting the self-study. In the process of writing it, we discovered that the real value of a self-study in not simply to say that we met NCA requirements; it let the University take a look at how it had progressed in a very short period, where its new strengths were, what challenges still remained, and where it should be aiming its energies. On the one side, the report was candid about its concerns and its needs for continued change. On the other (and, for some reason, much harder) side, it reflected our commitment and strengths, our sense of ambition, the things about which we could be and were proud. The theme of

"Meeting the Challenge" let the University of Wisconsin Oshkosh draw together its myriad parts, seeing how what had been done supported its goals.

We found that the Self-Study Report can provide the university community with a process for seriously considering what it has done and what it wants to do. A good Self-Study Report cannot be "written without effort," because it demands the commitment of people—not to facts and data but to the well being of the institution and to its future. But when the effort is given, when the creation of the Self-Study Report is something more than an exercise in writing lists which meet the NCA criteria, it creates a context which helps the university and the visiting team understand the unique ambitions and challenges which stand behind a quality institution of higher education.

CHAPTER XI

MAKING THE MOST OF THE ON-SITE VISIT

Making the Most of the On-Site Visit

Sigfredo Maestas

The on-site visit by the consultant-evaluators can be a very enriching experience for the institution going through the evaluation process. The more open and receptive the institution is to the on-site visit, the more productive and beneficial the experience can be.

Having completed the rigorous process of self-study required before the site visit, the institution has bared its soul and identified all aspects of its strengths, weaknesses, opportunities, and aspirations. This process enables the institution to take a critical, inward view of itself and to review its mission and purposes, its resources, plans and needs. This awareness of the institution's status, coupled with the participative spirit permeating the faculty, staff, students, and all entities involved in the self-study process, charges the atmosphere with positive vibrations which are advantageous in making the on-site visit successful. The atmosphere created within the institution during the self-study process and the preparedness for the visit have a direct correlation to the success of the on-site visit.

The site visit should be viewed as a consultative visit, as well as an evaluative one which will help the institution improve its over-all operation. Visiting team members are selected based on their vast expertise and experience in the educational arena. They bring broad experiences and insights which can be invaluable to the participating school. The institution also has an opportunity, before assignments are made, to identify specific areas of expertise or qualities desirable in the visiting team members. It is vitally important for the institution to identify those areas where further development or assessment is desirable before making the request for specific characteristics in the team members. An institution eagerly seeking self-improvement will find discussion stimulating if each team member's expertise is tapped during the visit. During the process of ascertaining the institution's readiness for accreditation or candidacy, there is ample opportunity for idea exchanges and sharing of knowledge and experiences between team members and the participants.

To get the most benefit out of the evaluation visit, it is important that the institution share as much information as necessary with the team members so that they have as clear and comprehensive a picture as possible. Prior to the visit, they will have received the required information, including the Self-Study Report. It is important to clarify

Sigfredo Maestas is President, Northern New Mexico Community College (NM)

information and to update the team members prior to their visit regarding those areas which have changed since the self-study was prepared. Good communication between the Team Chair and the Self-Study Director or Coordinator in providing information and making arrangements for the visit, will make for a smooth and beneficial site visit.

Advance internal communication and dissemination of information to the general public creates an understanding of the site visit process and facilitates efficient time utilization during the visit.

A well organized yet flexible schedule for the visiting team makes the process easier and the experience a richer one. Logistics and details should be arranged in advance as much as possible.

The following are some helpful hints which will make the site visit more successful:

- Assist team members in making travel accommodations. Team members are normally not familiar with distances and nuances of individual communities or regions. Providing maps of the area can also be of substantial value.
- Arrange for transportation to and from the airport, hotel, campus and between sites. Assigning this responsibility to a staff member is helpful.
- Hotel accommodations should be comfortable, with rooms conducive to working. Team members often burn the midnight oil in completing evaluation reports before the site visit is complete.
- A centralized working room at the institution for use by the team will facilitate information flow. Institutional documents should be housed in this room and an index of available information should be provided.
- Organizational charts, names of administrators, department heads, faculty and key personnel, room numbers, schedules and other basic information must be available to team members. A packet of useful and specific information of this type should be available immediately upon the team's arrival.
- An interview schedule formulated and communicated in advance is helpful to both the team member and interviewees. The schedule should be as flexible as possible to accommodate changes as necessary.
- Students, faculty, staff and community members should have access to team members if they wish to visit with them. It is advisable to provide open schedule time for this purpose.
- The Board members of the institution should have an opportunity to visit with team members.
- Institutional business should continue as usual as much as possible during the site visit.

- Information or records requested by team members should be provided as quickly as possible. Staff and faculty should be readily available and cooperative in accommodating the team's needs.

During the evaluation process the Team Chair normally communicates with designated staff and the Chief Executive Officer (CEO) of the institution regarding areas of concern.

It is important that clear understandings be established before the final activity of the site visit takes place. The final activity is the exit interview. During this interview, the Team Chair will communicate to the CEO and others present the conclusions reached regarding recommendations on accreditation. It is at this time that the institution will get a good preview of the final report which will conclude the team's responsibilities in the evaluation process.

It is highly recommended that following the exit interview the institution commence immediately to address those areas needing follow-up. The process of self-study and evaluation should culminate with goal setting and a series of activities needed to accomplish these goals. To guarantee that this process takes place, the institution should have an assigned individual with the responsibility and authority to follow through.

In conclusion, the success of the on-site visit depends on the preparations made prior to the visit, the positive attitude of the institution's staff during the visit, and the ability to view the accreditation team's final report and the institution's Self-Study Report as a blueprint for institutional self-improvement.

Making the Most of the On-Site Visit

Jerry Alexander

Pre-Planning for Campus Visit

Team Chair and President's Communication

There are many benefits to be derived by the institution from an on-site visit. Many hours have been spent by the institution's faculty and staff. Therefore, expectations are high regarding the actual visit by the team.

The first direct involvement with the team is the institution's right to review and comment on the proposed team members. During this process the institution must keep in mind that one of the roles of the evaluators is as consultant. Therefore, team members should be familiar with the type of institution (public or private, large or small, church related, professional, vocational, liberal arts, etc.). The team chairperson is crucial to the on-site visit. The institution may want to get more information about the proposed chair and the schools he or she has evaluated in the past.

The institution can expect contact from the chairperson of the team several months prior to the visit. At that time he or she will arrange the visit with the president of the institution. This may include several different areas of planning: for example, reserving rooms for the team at a motel and perhaps reserving meeting rooms at the motel for the team, although most often the team will meet in the chair's room.

The team chair will request a meeting room on campus where there can be privacy. This room should include all the supporting documents (clearly labeled) that are easily moved to this location. These documents may include the Board of Trustees minutes, financial data such as recent audits, long range planning documents, class syllabi, faculty and staff directory, class schedules, etc. The team members will, by necessity, have to visit some offices to review selected files, since they would be too bulky to be moved to the team room. Team members appreciate coffee, donuts, rolls, etc., provided them in their conference room. They have a very limited time on campus and may want to review documents, etc., while they have coffee.

The team chair will request a secretary or administrative assistant who can make appointments, answer questions, and take messages for the team.

Jerry Alexander is Academic Dean, Central College (KS)

Meeting With the Trustees

An important arrangement is to plan when the North Central team can meet with the Board of Trustees. This needs to be done far enough in advance so that out-of-town Board members can adjust their schedules. The particular time that the team will meet with the Board will most likely be Monday or Tuesday evening over dinner. After dinner the Board may go into executive session, with only the team members present. There are times that a team chair will prefer to meet Board members the first morning of the visit, but this would be the exception rather than the rule. For the most part, the contact with the Board will be after the first or second full day of evaluation.

Internal Publicity

Some internal publicity for the visit is mandatory. The Self-Study Report should be reviewed by the total institution, especially the individuals on campus who did not have major responsibility in the self-study process. The Board members, faculty, and staff should also be briefed on the expectations of the team during the visit, etc. This can be done through a memo of introduction of the team members: what institutions they represent, their responsibilities at their respective institutions, and any other information that would assist communication between team members, faculty, and staff. If there is a bulletin or communication device available to the administration, it could be used to alert the students of the up-coming visit, introduce the team members, explain the reasons for the visit, etc.

Group and Individual Meetings

Prior to the visit, the team chair may want the institution to set up several groups of individuals to meet with team members. These groups might include groups of students, Academic Affairs Committee members, perhaps the total faculty if the institution is small, representatives of the alumni, etc.

A time should be set when faculty and staff can initiate a meeting with team members. This is important for the faculty and staff who have not had the opportunity to visit with the team but desire to do so.

The Campus Visit

Team Organization Plan

If the team visit is Monday through Wednesday, they will be having a team meeting Sunday evening. At this time they will divide up the responsibilities among the team members, based on their expertise. Some team chairs will have a tentative organizational plan prior to the Sunday evening meeting. This will be discussed and revised according to the experience, strengths, and interests of individual team members.

Entrance Interview

At approximately 8:30 Monday morning, the team will have a meeting with the president and any administrators, faculty and staff that he or she chooses to have at this

first session. At that time introductions will be made, and the team chair will discuss the objectives and purposes of the visit. It is during this time that clarification of the visit will be completed with the president and his/her staff. Although some scheduling may be done at this time, especially group sessions, most of the individual interviews will be scheduled with the secretary designated as the contact person for the team during the visit.

Campus Visit Procedures

It is imperative that the team chair keep in close contact with the president of the institution. If there is a serious problem, the team chair should keep the president informed so that he or she may respond to the team in a timely manner.

The team will keep in mind that the institution's performance is measured against its own objectives, and not against the performance of other institutions. Team members will consult with individuals in the institution where they see it is appropriate. It is possible that team members may be able to say things which the president may not feel free to say, especially regarding the Trustees (their responsibilities to the institution, etc.).

Team members will compare notes each evening and during the visit. At these times, a consensus will be developing regarding the strengths and concerns of the institution and ultimately the team recommendation. Following the recommendation, the Statement of Affiliation Status will be changed according to the team's findings.

Exit Interview

The culmination of the on-site visit is the exit interview. This will take place around 11:00 or 12:00 Wednesday morning. At that time the chief administrator may invite his/her administrative team and others if he or she wishes. The general procedure is to invite the individuals who were at the entrance interview. The team chair will explain that this is not a time for debate but a time for the team to report the strengths, concerns, and recommendation. There are times when the exit interview is unpleasant if critical statements must be made. The team report should not differ significantly from the strengths and concerns presented in the exit interview.

The team chair will also explain that a draft will be provided to the institution, approximately four weeks later, on which correct errors of fact can be made. Six weeks after the visit the final team report will be sent to the Commission staff for distribution to the institution and the team. The institution is then invited to make formal written response to the team report, which is forwarded to the Commission staff and evaluation team.

Conclusion

Hopefully, after the process is completed, the institution will use the report of the on-site visit to assist it in overcoming weaknesses, developing long range plans, and ultimately in becoming a better educational institution.

CHAPTER XII

AFTER THE VISIT: ONGOING SELF-STUDY AND INSTITUTIONAL IMPROVEMENT

After the Visit: Ongoing Self-Study and Institutional Improvement

Gary Justice

Beyond Self-Study

For most institutions, the NCA self-study and preparation for the NCA visit require considerable effort. Relief may be the most common reaction to a successful visit. Other likely reactions include the following:

- an increased sense of community with other post-secondary institutions,
- an increased sense of individual institutional identity and reason for being,
- an increased sense of interdependence among the functional units of the institution, and
- an increased sense of responsibility for institutional stewardship, self-direction, and self-discipline.

The NCA self-study/visit may further result in a list of improvements to be made or at least begun in the immediate future. What about the longer term? What about attempting to perpetuate or even expand upon the institutional knowledge and skills gained from the NCA self-study process?

While consultation, evaluation, recognition, and ultimately accreditation, from outside the institution have their obvious benefits, even greater benefits may issue from experience with the kind of organizational functioning associated with the self-study process. Perhaps ironically, educational institutions have earned a reputation as being relatively tardy in the development of self-improvement functions such as intelligence, research and development, and long-range planning. Students of organizational behavior note that such functions and structures of "adaptation" are most evident in more fully developed organizations, particularly those facing greater competition and/or a rapidly changing environment. The time may be right for postsecondary institutions to dedicate more of their resources to the development of adaptive functions and structures.

Gary Justice is Coordinator, Division of Social Science, William Woods College (MO)

The Need for Adaptation

The relative stability and predictability of a college's environment determines how adaptable it needs to be. When cultural values are uniform and stable, when political and legal policies and regulations are dependable, when economic trends are promising and clear, and when informational and technological advances are slow, colleges with a past record of success may well expect to survive into the future with little pressure for change and without much investment in processes and structures of adaptation. Some institutions at some points in the history of the development of American post-secondary education may have been able to coast along with little concern for environmental turbulence, but most contemporary institutions must be more aware of and responsive to cultural, politico-legal, economic, informational, and technological changes in their environments.

Consider, as examples, the pressures for change and adaptation brought about by the following:

- a declining pool of college students of traditional age and within that pool a greater diversity of cultural and economic background and a wider range of educational expectations and needs;
- increasing uncertainty about the federal government's future involvement in and support for post-secondary education and the long-term effects of recent changes in federal tax policy;
- the exponential expansion of the knowledge base further compounded by technological advance;
- volatility of the national economy accompanied by a trend toward internationalization and globalization of the economic environment.

Few institutions can afford to ignore the influence of such pervasive trends particularly if they are exacerbated by situations in the more immediate institutional environment. In more settled times, adaptive innovation may have been a luxury reserved for avant garde institutions. In this time of dynamic change, adaptive processes and mechanisms will hopefully assume a more leading role in assuring the survival and progress of colleges and universities. It is those institutions which purposefully develop the functional skills and structural mechanisms of adaptation to and exploitation of their changing environments that will be the leaders in tomorrow's higher education.

Following on the above call for greater institutional adaptability and innovation, the institute session will focus on factors to consider in encouraging the function of ongoing institutional self-improvement and in establishing structures of adaptation appropriate to the needs of individual institutions.

After the Visit: Ongoing Self-Study and Institutional Improvement

Ruth M. Roberts

This paper will demonstrate how the University of Arkansas at Pine Bluff, having received continued accreditation in August 1987, is using ongoing self-study to implement three major institutional improvements:

1. The establishment of a multidisciplinary research center in July 1987 to facilitate a greater research effort in all disciplines and to help the university become more of a problem-solving institution.

2. The reorganization of certain divisions into schools in (a) Agriculture and Technology, (b) Arts and Sciences, (c) Business and Management, and (d) Education in July 1987 to prepare for offering graduate courses in the near future.

3. The addition of graduate courses to the curriculum within two years. Because it does not currently offer graduate education, UAPB has been handicapped in attracting first-rate teaching personnel and in acquiring funds for research, in particular funds that are restricted to graduate institutions.

To address these concerns, the steering committee has focused on four objectives:

1. To review and redefine UAPB's mission statement in terms of the above institutional improvements and to recommend the essential changes in the statement.

2. To review and revise the statement of goals in terms of the institution's current and future mission, role, and scope.

3. To assess and clarify UAPB's PME process in terms of current and future plans for operation.

4. To review academic and support programs in terms of immediate and long-range plans.

To initiate this effort, the steering committee divided the ongoing self-study into four stages:

Ruth M. Roberts is Assistant Professor of English, University of Arkansas at Pine Bluff (AR)

1. Making the Commitment

    a. When should the commitment be made?
    b. Who should be involved?
    c. Whose support is needed?
    d. What are the advantages and the pitfalls?

2. Establishing the Process

    a. What is the focus?
    b. What is the charge?
    c. How is it to be implemented?

3. The Follow-Up

    a. Which concerns have been adequately addressed?
    b. Which concerns are ongoing?
    c. What, if any, new concerns have arisen?

4. Summary Report

    a. Response to institutional concerns
    b. Recommendations

Although this presentation will reflect one institution's experience, the methods are adaptable to the needs of other institutions.

CHAPTER XIII

SINGLE PURPOSE INSTITUTIONS: SPECIAL CHALLENGES

Accreditation of Single Purpose Institutions: A Historical Perspective

Randall Thompson

One of the more insidious problems affecting many single purpose institutions new to the accreditation process is the extent to which folklore shapes knowledge and attitudes about current day NCA policies, procedures, and activities. As a former staff member of the Commission on Institutions of Higher Education, an educational consultant, and a college president, I have had the opportunity during the past fifteen years to work with a number of single purpose institutions which received NCA accreditation, including the first for-profit school, the first Bible college, the first chiropractic college, the first business school, and the first area vocational school. While working with over 300 institutions going through the accreditation process, I have encountered erroneous perceptions, misunderstandings, lack of knowledge, etc., about accreditation by many persons who were in the beginning stage of leading their institutions through the process.

In spite of much effort by the Commission on Institutions of Higher Education to increase knowledge and understanding about the accreditation process, there are still many misunderstandings and perceptions which persist as a kind of perverse mythology. Unattended, the aggregated conventional wisdom can, *de facto*, undermine the full potential of the accrediting process as an instrument for internal institutional self-study, planning, and development. Although the evolution of the Commission's accreditation standards, eligibility requirements, and practices have been fraught with some problems and difficulties for some institutions, particularly specialized, single purpose institutions, who have sought accreditation, the process does work. Just as higher education has changed in response to concerns and needs of society, so has the accreditation process undergone scrutiny and change.

The intent of this paper is to provide historical insight into how this self-regulatory system of assessing institutions in a pluralistic system of postsecondary education has evolved in the North Central Association/Commission on Institutions of Higher Education in an attempt to increase knowledge and understanding about the accreditation process of the Commission, thereby drawing upon the full potential which it can provide.

Randall Thompson is President, Alfred Adler Institute (IL)

Myths and Misconceptions

The following list is certainly not exhaustive but is representative of the essence of the type of comments which I have often heard expressed by some single purpose institutions:

- "Members of the evaluation team won't understand us—they will be from big traditional universities with a lot of different programs—our whole institution is smaller than most of their departments."
- "Our mission is specific and narrow in scope—will we be judged on the same standards as the traditional, large multiprogram, research-oriented prestige university?"
- "Why do we need North Central accreditation—we already have accreditation from our specialized accreditation association?"
- "Our library is small—we don't have 20,000 volumes—isn't that a North Central requirement?"
- "We don't have all of the resources that big colleges have—our faculty is mostly part-time—and we are so specialized, not to mention that we are for-profit—they won't accredit us."
- "I have read the requirements for accreditation but they are so general—if they were more specific we would know what to do to become accredited."

Early Years of Accreditation

The Commission on Institutions of Higher Education has been in existence for over ninety years. The direct origin dates from 1895 when the constitution was drafted creating the North Central Association. Early interest in institutional accrediting concerned itself mainly with the issues associated with transfer of credits and thus focused on academic standards among institutions. In less than a century, institutional accrediting has evolved through several stages, from the first quantitative measures of faculty training, faculty-student ratios, volumes in the library, to more broad-based concerns about quality of education, clarity of purpose, institutional viability and integrity, and consistency of performance.

It is true, however, that in early years of regional accreditation, the position was one of a strict policing of institutions through rather arbitrary and inflexible standards of excellence. Not true today: no, there is not nor has there ever been a requirement that an institution must have 20,000 volumes in the library. This was a standard established by the American Library Association, not North Central. Assessing the adequacy of learning resources involves more than just counting.

In the early years, on-site evaluation visits concentrated heavily on the material and human resources in relation to the processes of the institution. It was primarily assumed that if "the house was in order," the institution was doing an adequate job. This approach to accreditation may have worked well in the past; but in this present day of accountability, this technique is no longer appropriate.

The trend away from externally imposed expectations began more than fifty years ago. At the 1933 Annual Meeting, George Zook, Association Secretary, made the following statement:

> It is generally agreed that an institution should not only be accorded entire freedom in selecting its field of operation but it should be required to do so and to announce the field or fields in some regular official manner. The degree to which it meets the standards set up by the Association should be judged in terms of those objectives.

Thus, the foundation was laid that general institutional accreditation pursued within a climate of educational diversity should not attempt to impose or maintain arbitrary patterns of education but should assess the clarity with which an institution delineates its educational objectives and come to a conclusion regarding the degree to which these tasks are being carried out. The key issue is, does the institution have the ability and the resources (funds, land, buildings, equipment, support staff, faculty, etc.) to achieve the stated purposes and objectives of the institution in relation to the curriculum and educational program(s)? For example, it is not a matter of the number of Ph.D.'s or how many full-time faculty, but rather is the academic preparation, training, background, and experience sufficient to perform the educational and instructional tasks which the institution has set for itself.

Diversity of Institutions

The basic purpose of accreditation has always been the primary nongovernmental impetus for the improvement of the quality of education; however, with the development of new and different types of specialized institutions in the 1950's seeking accreditation, it became apparent that the historical definition of "quality" would no longer suffice for the future. Norman Burns, long-time Secretary of the Association and leader in accreditation, in an editorial in the April 1961 *NCA Quarterly*, presented the view that there was confusion by many educators as to the meaning of quality in the modern educational world. Burns postulated that this confusion stemmed from a failure by many to comprehend how the diversification of institutions had led to a change in the definition and that quality could no longer be associated with an intellectual elite. Dr. Burns stated:

> We have schools with a strong vocational orientation serving an industrial community; others with students from the upper socio-economic levels will be largely preparatory. Still others combine these and other functions.
>
> We have community colleges serving an unselected local clientele and liberal arts colleges serving a highly select group, most of whom will continue their studies in professional and graduate schools. We have schools of engineering, schools of

> business, schools of medicine, schools of art and schools of music, theological seminaries and schools of cosmetology. We have various combinations of these, as well as some mixture of liberal arts.
>
> Under these circumstances, institutional quality cannot be thought of as an absolute—something that always can be described in the same terms. Rather, it can have meaning only in relation to institutional function, and since functions differ widely among and within institutions, institutional quality must have many meanings. The technical institute that turns out excellent technicians is a quality institution just as the graduate school which produces fine scholars is a quality institution. The North Central Association evaluates each of them in terms of the function it proposes to perform, assuming, of course, that the avowed function is appropriate to the clientele being served. It is just as appropriate for the Association to accredit an institution enrolling an unselected student body but successful in providing those students with an education appropriate to their intellectual level, as it is to accredit an institution which is successful in educating a highly select student body. All of these are quality institutions, but they are not alike.

In 1969 the abolishment of the requirement that an institution be chartered as a degree-granting institution opened up the eligibility for accreditation to a wider variety of postsecondary institutions, and in particular, those in the occupational/career sector. The vocational-technical explosion of the '60s opened the doors for specialized institutions.

Also, at the March 1969 Annual Meeting of the Association, the name was changed from the Commission of College and Universities to the Commission on Institutions of Higher Education to indicate its more inclusive nature with the acceptance of the responsibility for the accreditation of public post-high vocational schools. In addition, it was agreed to expand the membership of the Commission to include representatives from these schools. This was a major step for an association that was founded upon a base of liberal arts studies.

In the early 1970's the regional accrediting commissions debated the issues of permitting proprietary institutions to apply for accreditation, although it wasn't until 1977 that the first for-profit institution was accredited by the Commission. Now there are several such institutions, most of them single purpose, accredited. A review of the current roster of accredited institutions will show a host of other specialized institutions, including technical institutes, area vocational schools, Bible colleges, business colleges, chiropractic colleges, colleges of nursing, seminaries, medical colleges, art institutes, schools of professional psychology, and so forth.

Institutions of higher education come in many forms, with many styles, and diverse qualities. In fact, one ideal model would be inevitably constricting. The addition of new types of institutions to the accredited list has not required that they substantially change the nature of their mission or their curriculum to conform with those of the existing membership. Rather, each institution has been encouraged to develop its own distinctive and often unique purpose within the general accreditation framework. One of the most striking characteristics of the list of accredited institutions of higher education by the Commission is the diversity represented.

Concluding Remarks

Over the years the accreditation process has witnessed a commitment to service on the part of the people who have contributed to it, namely, the consultant-evaluators who are selected from accredited institutions. Oftentimes there is concern expressed by the institution which is about to be evaluated that the composition of the on-site team may not be appropriate. The main consideration should not be where a consultant-evaluator comes from, how large or small his/her institution is, but rather the competency of each member of the team. Although an institution has the ability to review and comment on proposed team members, it has been my experience both as a Commission staff member and as a college president, that the majority of persons conducting the on-site evaluation visits are well-qualified to carry out their function—even to very specialized, single purpose institutions. In general, members of the evaluation team work hard to conduct a fair, objective assessment of how well an institution fulfills the criteria for candidacy and accreditation. The Commission staff also work hard in selecting an evaluation team of well-qualified consultant-evaluators. If necessary, they will select persons from outside the 19-state region who are familiar with the type of institution: public, private, large or small, independent or church-related, single or multi-purpose, not-for-profit or proprietary, traditional or non-traditional, professional or occupational.

In my opinion, virtually every single purpose institution has the ability to obtain accreditation—it just takes some institutions longer than others. Although no single formula provides the answers for all of the accreditation issues that an institution may face, it is fundamental that an institution needs to clearly and precisely state what it is about, and then be about what it has stated. Accreditation is the capacity to ensure the outcomes that the institution wishes and to prevent those that it does not wish. However, no institution, single purpose or multi-program, can expect to obtain accreditation if it does not have effective, quality program(s) and adequate resources.

Instead of trying to emulate the "traditional" university, I encourage single purpose institutions to maintain and further develop their individuality. There are no arcane "musts" to being an accredited institution. With a carefully developed mission and specific role and scope, a single purpose institution can develop and perfect its own educational personality which can make it more attractive to the students it seeks to serve.

Although the accreditation of an institution is complex, fundamental basic considerations such as diplomacy, candor, honesty, openness, ability to listen, and establishing a congenial relationship with the evaluation team can do much to ensure attainment of accreditation and reaccreditation. Once an institution has acquired a sense of the accreditation process and is well-informed, being a fundamental part of it comes naturally.

Single Purpose Institutions: Special Challenges

Thomas Brown

The purpose of this session is to present and discuss some of the specific challenges confronted by single purpose institutions in preparing for and hosting a Commission evaluation.

Even though each single purpose institution would have its unique challenges, there are others that would likely be shared by almost all single purpose institutions as they begin the process of gaining regional accreditation. The remainder of this paper is to briefly describe what some of those common challenges are likely to be.

Institutions frequently have rather specific motives for initially seeking regional accreditation, and are later surprised, and sometimes discouraged, to find that the implications of regional accreditation are far greater than they originally anticipated. It is important that an institution's trustees and managers understand how broad these implications might be before they begin to commit their resources and energies to what might be a long, and sometimes difficult, process.

Regional accreditation creates a new accountability for an institution. It changes the institution's traditional methods of making decisions and implementing change. A new set of considerations comes into existence, around which the institution must always focus its attention as it contemplates alternative choices. Unless the college has institutionalized these considerations into its structures and standard operating procedures, it may find that over time its decisions and practices do not remain consistent with the expectations of future evaluation teams. Many of these considerations will be discussed in the session and will include the role of general education in the curriculum, institutional research and documentation, library resources, community relations and outside services, and the changing roles of the college's trustees or board members.

Not only do institutions frequently not adequately anticipate necessary changes in structures and operating methodologies, they frequently are surprised to find the extent to which they must devote financial and physical resources over time to adequately meet the Commission's General Institutional Requirements as well as the four Evaluative Criteria. Many of these commitments will be explored during the session.

Thomas Brown is Vice President and Director of Planning, Davenport College of Business (MI)

Large financial commitments required to meet accreditation expectations can sometimes put an additional strain on a developing institution because those resources would likely be used for other purposes if regional accreditation were not an issue. The expenditure of large sums of money really forces an institution to clarify its thinking about the commitments necessary to gain and maintain regional accreditation, while at the same time continuing to hold one or more specialized accreditations.

Perhaps the most difficult challenge many small single purpose institutions must face when seeking regional accreditation is the necessity to develop a cohesive teamwork approach toward all the necessary tasks associated with the accreditation process. It is critically important that all members of the institution understand the reasons for accreditation, become committed to the goal, and have an opportunity to participate in a meaningful way toward the accomplishment of the goal. In the absence of total institutional agreement and commitment, many conflicts are likely to arise throughout the process. Regional accreditation is likely to require many smaller single-purpose institutions to become more open and participative than they may traditionally have been. Some of these kinds of challenges will also be discussed during this session of the North Central Annual Meeting.

Nursing Education in Transition

Kathleen Hogan

Throughout the past 50 years major studies have proclaimed the merits of moving the educational system for nursing into the mainstream of higher education. This position has recently been reaffirmed by major professional nursing organizations, most notably the American Nurses' Association (ANA) and the National League for Nursing (NLN). Consequently, nursing education programs throughout the United States are in a state of rapid transition. The change attracting the most attention is the transformation of hospital-based diploma nursing schools into free-standing, baccalaureate degree-granting institutions. This presentation will identify four major challenges associated with such a transition and provide some suggestions which might be helpful in preparing for accreditation.

Transformation means the evolution from one form to another. This means that those people involved in transitions in educational programs must assume the traits and distinguishing qualities that characterize the new form. To facilitate such a transition it is beneficial to consider both institutional and program accreditation criteria within the decision-making process. The NLN is the professional accrediting agency for nursing education programs.

In preparing for a Commission visit it is imperative that at the outset such a transition be conceptualized as the establishment of a college and not merely the development of a baccalaureate nursing program. To develop a baccalaureate nursing program implies designing a curriculum and appointing qualified faculty. To establish a college of nursing means:

1. Forming an organizational structure and governance whose primary focus is education.

2. Developing policies and procedures governing academic, student, and faculty affairs that are consistent with the mission of an institution of higher education.

3. Developing strategies that will ensure the financial viability of the institution.

4. Selecting a faculty with the academic credentials and experience necessary for teaching in an institution of higher education.

Kathleen Hogan is Vice President and Dean, Mennonite College of Nursing (IL)

5. Designing a baccalaureate curriculum that will result in the preparation of well-educated professional nurses.

6. Recruiting and retaining a critical mass of qualified students.

7. Developing a long-range institutional plan based on an ongoing integrated planning process.

8. Obtaining approval from the state Board of Nursing and in some states approval from the Board of Higher Education.

The achievement of these goals will result in a successful transition and an accreditable institution. However, it is important to remember that diploma schools of nursing have a long, rich history of educating nurses. This creates both positive effects and challenging issues for programs transitioning to degree-granting status. The positive effects include the existence of adequate physical resources, established relationships with clinical agencies, and established support services. The challenges created by such a history relate to issues of governance, finances, faculty and acceptance within the nursing education community.

Governance

Throughout the approval and accreditation process evaluation teams gave special attention to two matters, governance and finance, because as a part of a healthcare system these two areas are generally perceived as more complex than for a traditional college. Typically diploma nursing programs are controlled by a hospital governing board and managed by a director who reports to a hospital administrator. This raises the question of appropriate control for maximizing quality within the educational institution. Preparation for both institutional and program accreditation requires a organizational structure and governance which enables the educational institution to carry out its mission and achieve its purposes. It is essential that a governing board be formed whose sole responsibility is to protect the autonomy and integrity of baccalaureate education and to insure that faculty, administrators and students participate in the governance of the educational institution.

A critical issue in the NLN accreditation of baccalaureate nursing programs is identifying the parent institution. NLN (1983) defines parent institution as "the senior college or university or consortium of which the nursing program is an integral and autonomous part." A single-purpose college of nursing that is owned and operated by a corporation whose primary mission is the delivery of healthcare has a major challenge in identifying the parent institution. According to Miller (1986) a basic principle in identifying the parent institution is that the parent must possess the same characteristics as the offspring. It is obvious that a healthcare corporation does not have the characteristics of an academic institution. In keeping with the NLN definition, the college of nursing is logically identified as the parent institution. It is vitally important to establish clearly who the parent institution is because of the implications for responses to several NLN accreditation criteria.

Finance

Both institutional and program accreditors are concerned that resources are sufficient to carry out the institutional mission. Of the utmost importance is that the educational institution can demonstrate its financial viability and that it controls its own budget. Revenues for the operation of a hospital-based education program are obtained from tuition, fees, grants and educational reimbursement from the hospital. A major concern is that financial support provided by the healthcare corporation has the potential for compromising educational decisions and program implementation. Evidence must document that this is not the case. Given the tenuous nature of educational reimbursement, it is essential that an endowment fund be established. The college board of directors, alumni and community must be mobilized to support such a fund.

A financial problem associated with the transition to a degree-granting institution is the loss of select financial aid programs and capitation grants. Accreditation is required to be eligible to receive these funds. This problem can be managed by establishing an institutional loan program to help meet the financial aid needs of baccalaureate students until candidacy status with the Commission is achieved. Operational revenue can be increased by raising tuition to a level competitive with similar private institutions.

In preparing for a Commission visit the completion of financial data forms may be problematic. Finance officers in health care organizations use a system to manage and explain financial matters that is different from the financial system used in education. Consultation provided by a Commission staff member or an educational finance officer may prove helpful in clarifying the information requested on the financial data forms.

Faculty

A well-qualified faculty is essential to carry out the mission of an educational institution. The selection of such a faculty is a uniquely significant challenge for a college of nursing preparing for an initial Commission visit. Difficult personnel decisions must be made when the incumbent diploma school faculty or administrators lack the experience, credentials or motivation necessary to make the transition to a degree-granting institution. Those incumbent diploma faculty who seek appointment to the baccalaureate faculty generally are appointed at the instructor rank because of limited experience in baccalaureate education and limited scholarly productivity. This results in largely a junior faculty. This, coupled with the fact that the pool of highly qualified doctorally prepared nurse educators is limited, will test the ingenuity of any administrator.

It is imperative that an ongoing faculty recruitment and development program be implemented. Recruitment should focus on the appointment of senior faculty at the associate and full professor ranks who have experience in baccalaureate nursing education. These professors can serve as mentors for the junior faculty members and they will be invaluable in the development of policies, procedures and curriculum that is consistent with baccalaureate nursing education. A faculty development program should be planned to enhance instruction and scholarly productivity.

In the event that there is not a ready pool of senior faculty candidates in a given geographic area, administrators must plan other ways to socialize their faculty. Socialization is both a conscious and subconscious process by which individuals acquire the attributes associated with new roles. Some faculty socialization strategies are the following:

1. Build differing external networks.
2. Develop a faculty exchange program.
3. Establish an interinstitutional mentoring program.
4. Involve all members of the academic community in the work of the transition.
5. Become members and participate in organizations within higher education.
6. Form an advisory council to provide an interdisciplinary forum.

Acceptance

The single-purpose, degree-granting institution has a long history in higher education and is recognized by regional and professional accrediting associations as an educationally sound model. However, the single-purpose, degree-granting institution is a new phenomenon within the nursing education system. As such these institutions are suspect, creating the most significant challenge in the entire transition process. Intense political lobbying and personal pressure from some members of the nursing community are brought to bear on those involved in such a transition. The very legitimacy of single-purpose institutions as members of the higher education community is questioned. This reaction should come as no surprise. It is a part of the change process. I encourage those involved in such a transition to believe in what you are doing and strive for excellence as you prepare for accreditation.

In Conclusion

The best advice I have heard on coping with complex change such as transforming a diploma school of nursing into a degree-granting institution is the statement, "Press On," by President Calvin Coolidge.

> Nothing in this world can take the place of persistence—talent will not — nothing is more common than unsuccessful men of talent.
>
> Geniuses will not—the world is full of educated derelicts.
>
> Persistence and determination alone are omnipotent.

Mennonite College of Nursing has the distinction of being the first single-purpose, baccalaureate degree-granting institution in the United States to achieve accreditation by the NLN.

References

Miller, Carl. (1986). Transforming the patterns of nursing education. In *Looking beyond the entry issue: Implications for education and service* (pp. 67-77). New York: National League for Nursing.

National League for Nursing. (1983). *Criteria for the evaluation of baccalaureate and higher degree programs in nursing* (5th ed.). New York: Author.

CHAPTER XIV

INSTITUTIONAL CHANGE

Institutional Change: Moving to the Higher Degree Level

Sr. Mary Odile Cahoon

In attempting to move an institution to a higher degree level, three areas need to be considered: 1) NCA requirements for the move, 2) basis of the proposed change, 3) process to be used. As might be expected, issues considered in the first and second areas have a remarkably good fit. The college should be looking at centrality to mission (fit of mission, fit with and effect on current programs), quality (resources needed, potential for a quality program) and market viability (need, cost effectiveness), to use the three standards of Philip Kotler. These mesh with NCA's request for evidence of readiness as given below. The third area, that of process, must include approval by existing or specially developed internal structures, by the governing board, the appropriate state agency and finally NCA.

NCA Requirements for Institutional Change

A Handbook of Accreditation 1988-89 lists information necessary for NCA approval of a change (Chapter VI, p. 36):

1. A concise statement of the proposed change and reasons for the change.
2. Evidence of necessary internal and external approvals.
3. Evidence that the purpose is clear and appropriate.
4. Analysis of the effect on other parts of the institution.
5. Evidence of organized human, financial and physical resources as well as processes to initiate, maintain and monitor change.

Items 1, 3, 4 and part of 5 will be addressed in the next section. Item 2, issues of internal and external approval as well as structure, will be examined later.

Proposed Institutional Change

The college will need to define the change which it is proposing (NCA 1). Frequently, institutions advance in graduate work by gaining approval for a few graduate courses, then for one new graduate program at a time and finally for graduate level programs

Sr. Mary Odile Cahoon is Senior Vice President and Dean of the College, College of St. Scholastica (MN)

in general, although it would be possible to attempt to move to the graduate level in one step. The college must also scrutinize its purpose for suggesting the change. It is hoped the institution is moving from a position of strength, not a scramble to bolster sagging enrollments. If enrollment is the real problem, that should be addressed rather than stretching the college's resources to new and more demanding ventures.

In examining the proposed change in the light of Kotler's standards of centrality to the mission, quality and market viability, a number of questions need to be asked. Kotler and Fox used these standards for judging what should be done with an academic unit (*Strategic Marketing for Educational Institutions*, pp. 133-135). With some modification, the standards fit well in considering proposed additions. "Centrality to mission" is a measure of how directly related to the current mission is the proposed program; the relationship should be judged in terms of high, medium or low. "Quality" in this context is an estimate of potential depth and rigor of the program and quality of available faculty and would be rated as strong, average or weak. "Market viability," rated as high, average or low is the extent to which there is a present and future demand for such a program. This could be measured by the number of potential students desiring the program and/or potential employers seeking graduates of such a program. The following questions and suggestions may help a college look at these standards. "Program" could refer to a single graduate degree program or to a whole series of graduate level programs. References are made to the five NCA requirements for change.

Mission (NCA 3, 4)

1. Does the proposed move fit the thrust of the college? This would be best identified by strong undergraduate majors. Consider the history of the institution.
2. Would the program have a beneficial effect on the undergraduate programs as well as fit in and strengthen the present graduate offerings, if any? Look for interrelatedness of programs.
3. Would the move further the achievement of the institutional goals and objectives? Examine the current goals and objectives in this light.

Quality (NCA 5)

1. Does the program have the potential of becoming an academically sound program? A measure of the strength of the undergraduate program would give some indication.
2. Does the college have the faculty strength or can it attract the faculty to have quality graduate programs? Examine current faculty resumes and faculty loads; look at the ***Chronicle of Higher Education*** and professional journals to judge the availability of faculty and the salaries required. Review current college salary ranges in the particular field.
3. Are the facilities and library holdings suitable or can they be developed to support quality programs at the graduate level? Estimate what would need to be added in standard graduate references and journals in that field.

Market Viability (Cost/Need) (NCA 5)

1. What is the strength of the demand for such a program? Examine trends and present enrollments in similar programs.
2. What is the nature of the need for the programs—will they be long-lasting or of short duration? Look at the competition in the region.
3. Is there grant money available for start-up costs? Review the track record of the college for obtaining grant funds for new programs.
4. Will the cost of the programs be met by revenue generated by them after the programs are fully developed? Is there sufficient student demand for the programs to make them cost effective? A formal needs assessment may be necessary to give sufficient information on this.
5. Are there employment opportunities for graduates of the proposed programs? A survey of regional employers would be helpful.
6. What would be the effect on the public image: would it be seen as fulfilling a need, fitting the mission, or as competing unnecessarily, duplicating an available program? The public relations office may want to have a poll on this done by an outsider.

Process

The presentation at the Annual Meeting will deal with a survey of the internal structure and functioning of graduate studies in ten liberal arts colleges and the conclusions from that study. It will also cover the various routes of obtaining North Central Association approval for graduate work. Those present with experience of changes at the associate to baccalaureate or master's to doctoral level will be asked to contribute their views.

Institutional Change: Expansion Off Campus

Charles Keffer

Comments on this subject will be offered from three perspectives.

1. How should an institution structure its off-campus offerings to meet evaluation criteria and the educational needs of those they serve?

    a. The rationale for the expansion
    b. Objectives of the program
    c. The control of the curriculum and faculty
    d. Provision of supporting services—academic and non academic
    e. Evaluation of programs and results

2. What does an evaluation team look for?

    a. Why is the school engaged in off campus activities and what are its objectives?
    b. Who controls the program?
    c. How is the program implemented and is it effective in achieving its objectives?
    d. What services are available—are they appropriate and effective?
    e. How is the program doing—are students satisfied—are their needs being met?

3. Requirements of the Commission

    a. Any off campus location must be identified in the Statement of Affiliation Status either specifically or generally
    b. Any change in these locations must be communicated to the Commission.

Charles Keffer is Provost, College of St. Thomas (MN)

CHAPTER XV

INSTITUTIONAL GOOD PRACTICES

Institutional Commitment to Cultural Diversity

Zelema Harris

Minorities, including Hispanics, blacks and Asians, will make up one third of this country's population by the year 2000. Yet institutions today ignore the demographic shifts and go about business as usual.

Historically, we as educators have not anticipated change. We respond to change only when forced to do so. For example, we felt isolated from the Civil Rights Movement during the sixties and early seventies. We did not anticipate the impact the Civil Rights Movement would have on our colleges and universities.

Today, we are not prepared to address the demographic shifts in our student populations, including those of age, sex and race. Nor are we prepared to address the dearth of traditional educational experiences many of these students bring to the classroom. We don't think in terms of the future. Our educational system is predicated on the past, somewhat on the present, and without regard to the future.

I believe the time has come for us to seriously examine the possible state of our society in the next decade, which, should in turn allow us to predict who our students will be, the skills they will possess and what skills the future will demand.

The "decreasing participation of certain underrepresented minorities in colleges and universities" is an increasing concern, according to the American Council on Education's 1986 annual report. Greater minority participation is needed in all segments of higher education, from students to faculty and administrators to support staff. Minority student recruitment simply is not enough, rather there must be support across the board.

In his book, *Fostering Minority Access and Retention*, Richard C. Richardson states that most institutions' commitment to equal opportunity comes in the form of one support person, generally a recruiter, who handles minority concerns. Some literature suggest that minorities do not feel comfortable unless they are represented minimally at a ten percent level. "White flight" occurs when blacks in particular increase their representation at or above the thirty percent level. Not accidently, blacks who apply

---

Zelema Harris is President, Penn Valley Community College (MO)

for admission and employment at our institutions want to know how many blacks are represented.

Those institutions that want to increase their cultural diversity may find historically black schools to be of assistance, since these schools have a higher graduation rate for black students than traditional white institutions. A number of reasons have been cited for this phenomenon, among which are high expectations from faculty, a caring attitude, role modeling, and a feeling of comfort from being with students like themselves. Racism, a major barrier in white institutions, is not a factor for black students in black institutions.

There must be a commitment at the top institutional level to increase minority and female participation. This commitment must permeate the entire college community. Staff must be provided appropriate in-service opportunities to help them meet the institution's commitment to cultural diversity. Influenced by a conservative national climate, many of us have abandoned altruistic reasons for increasing cultural diversity. However, society will look to us as institutions of higher education to provide the necessary workforce to meet current and future jobs.

From an economic development standpoint, this country cannot afford to survive with an underclass made up primarily of minorities who will drain the available resources and reduce the quality of life we now experience.

Ethics of Student Recruitment in a Tight Market

Terrence J. MacTaggart

Commission staff spend a significant amount of time responding to public inquiries about institutional advertising. Sometimes, teams comment on misleading and/or incomplete information given by institutions to students. A critical problem occurs when institutions move into new and/or highly competitive markets aimed at adult learners and other nontraditional students.

Ideally, ethical recruitment is simply the communication of the programs and services to potential students who might benefit from them. At worst, recruitment becomes a meretricious hustle to attract enrollments and dollars with little regard for accuracy, honesty, or good service. This session presents some ways to help ensure that through careful planning and good management the ideal of ethical recruitment can be realized. It focuses particularly on new programs for nontraditional students.

This workshop addresses the challenge of ethical recruitment from two perspectives. The first is a discussion of how institutions may realize strong enrollments through accurately assessing the potential for their services in a given market. The second perspective is an institutional self-appraisal in which schools are asked to candidly itemize their strengths and weaknesses in offering particular educational programs. The market for educational services is increasingly competitive. Nevertheless, because there are increasing numbers of adult learners and because of increasing pressures for them to seek postsecondary education, it is an expanding market. Using the work of Phillip Kotler and Douglas Leister, this section of the presentation will deal with issues which an institution must consider in order to successfully position itself in a competitive market. Careful positioning or niching enables an institution to meet the genuine educational needs of its target market and thus reduces some of the pressure to engage in inappropriate recruiting practices.

The second part of the session suggests methods for institutional appraisal of its ability to deliver high quality programs to an intended audience. Using the work of Robert G. Cope, this section of the workshop introduces the issues which the institution must consider in determining if it has the appropriate human, fiscal and intellectual resources to offer a given program. Again, where there is a natural "fit" between institutional

---

Terrence J. MacTaggart is Chancellor, University of Wisconsin-Superior (WI)

strengths and market potential, there is much less likelihood of unethical enrollment practices.

Materials to be provided in this workshop include brief case studies and a list of questions which institutions should consider in evaluating the ethics of their recruitment efforts.

Developing and Monitoring Cooperative Arrangements

Roland Barden

The State of Wyoming supports a higher education enterprise consisting of the University of Wyoming and seven community colleges. Each institution is essentially independent with its own governing board; while there is a state commission for community colleges, there is no superboard for higher education in Wyoming. Together, these institutions address the educational needs of a relatively small population, about 500,000, dispersed over a relatively large geographical area. By unwritten agreement, the community colleges are responsible for academic outreach at the freshman and sophomore levels across the state. As the only institution awarding baccalaureate and graduate degrees, the University of Wyoming is similarly responsible for academic outreach at the upper division and graduate levels. The University believes it must respond to its role by increasing the extension of upper division degree programs, especially to cities where significant numbers of site-bound adults have completed two years of work at the local community college.

Casper, with a population of about 50,000, is a major population and economic center in Wyoming. Its community college enjoys strong community support and is the largest and oldest in Wyoming. The graduates of Casper College are enthusiastically received at the University in Laramie, but many remain site-bound in Casper and thereby become a major target of the University's outreach efforts. Upper division offerings in Casper requiring cooperation between the University and Casper College were initiated on the community college campus in 1976 under the duress of a mandate from the legislature, and without inter-institutional consultation leading to understandings on how to operate a joint venture. Within two years, the University was invited to leave the Casper College campus and, for about eight years, UW-Casper operated in an ancient ex-elementary school in Casper with its library holdings eventually residing in the Natrona County Public Library. Constructing a new facility for UW-Casper was effectively blocked by legislative intent in the appropriation process. During these years the University operated UW-Casper as a unit reporting to the Dean of the School of Extended Studies and Public Service. On an informal and *ad hoc* basis, Casper College continued to support the University's upper division offerings.

By 1986, the University's program included bachelor's degree curricula in Nursing, Social Work, General Business Management, Natural Science/Mathematics, Social

Roland Barden is Associate Vice President for Academic Affairs, University of Wyoming (WY)

Sciences, Humanities/Fine Arts, and Administration of Justice, plus the Master of Business Administration. Eleven regular full-time lines were assigned to the program plus funds to hire a significant number of temporary faculty. Over 300 students were enrolled each semester in upper division courses.

The University's regular review processes and many comments from students and the public all indicated the time had come to seek a major change to improve the Casper program. Given the economic realities in Wyoming, the only change that could quickly improve the University's Casper program was to re-establish a joint venture with Casper College.

The University's rationale for seeking a joint venture with Casper College included the following arguments:

- Accommodate student and political pressure "to do more" in Casper.
- Provide upper division extension students a traditional campus setting with excellent physical facilities.
- Provide upper division extension students access to student services and improved library support.
- Simplify registration/record-keeping processes for students enrolling simultaneously in both institutions.
- Expand the pool of faculty "eligible" to teach upper division and graduate level courses, thereby expanding and enriching curricular offerings.

Casper College has a strong tradition of serving its community, and I believe this attitude ultimately prevailed in their discussions on whether to consider sharing their campus with the University. Both institutions recognized that this mutual cooperation would permit a significant improvement in upper division and graduate programs in Casper at a very modest incremental cost to the taxpayers.

The process of establishing the University of Wyoming/Casper College Upper Division Center was initiated in the fall of 1985, when the governing boards and principal academic administrators of both institutions agreed that a joint upper division program was in the best interest of Casper's site-bound student population. Both institutions appointed faculty/administration work groups, who met together and individually throughout 1986 to identify issues and address their potential solutions. In the fall of 1986, the UW team wrote the first rough draft, which, upon several iterations back and forth over the fall, resulted in a proposed Cooperative Agreement. The Cooperative Agreement is the policy document establishing the UW/CC Upper Division Center and setting the fundamental responsibilities of each institution in the operation of the Center. At the University, the Cooperative Agreement was approved by the faculty's Academic Planning Committee and reviewed by the Deans' Council and the Executive Council. By the end of 1986, the document was adopted by both governing boards, acting separately. In short, the former "UW-Casper program" was to be renamed and relocated in its entirety to Casper College for the Fall Semester of 1987.

There were three key issues of special interest to the University's faculty/administration team during negotiations leading to the Cooperative Agreement. First, the University had an internal organizational problem relating to the status and nature of the proposed Center. Should it be a new independent School or a new free-standing extension program? We proposed to establish the Center as a new free-standing extension program headed by a Dean. This was consistent with the fact that all degree programs to be offered at the Center were the "property" of degree-granting colleges (faculty) at the University, and the extension approach also allowed the Center to capture tuition payments and apply the funds to operational costs. Designation of the Center's academic administrator as a Dean ensured a direct reporting line to the chief academic officer of the University.

Second, University faculty were intensely concerned that control of the degree programs in terms of course offerings and instructor assignments reside with the relevant disciplinary departments and the colleges at the University. We proposed that control of curricula for the degree programs reside with the University, and this was adopted. The agreed-upon procedures for authorizing the presentation of a junior, senior or graduate level course from the University's Master List and for authorizing a person to instruct the course are essentially the same as those applied by the University to any proposed extension offering. In short, the relevant disciplinary faculty at the University must approve the offering, thereby granting the offering the same status in the curriculum as if the course were being taught on the Laramie campus.

Third, the Trustees of the University have constitutional and statutory responsibility to present the University's budget to the State government and to account for the expenditure of appropriated funds. Thus, the University proposed that the Center's appropriated and self-generated funds be handled by the University's financial system, that annual operating budgets be approved by the governing boards of both institutions, but that biennial budget requests submitted to State government would—after review and comment by Casper College—be ultimately authorized by the University's Trustees. All of these conditions were adopted.

The Cooperative Agreement covers other policy matters, of course, but the three issues I identify above were of paramount interest to the University. Both the University and Casper College were concerned that their good standings with the Commission on Institutions of Higher Education not be jeopardized by the joint venture, and thus the Cooperative Agreement in draft form was reviewed by appropriate members of the Commission's staff. No concerns were noted.

After adoption of the policy document, i.e., the Cooperative Agreement, a major effort by faculty, professional staff, and administrators of both institutions was devoted to the preparation of a Memorandum of Implementation that set forth the mutual understandings on "nuts and bolts" matters relating to the actual operation of the Center. This document assigns responsibilities for practical matters in the operation of the Center, such as registration, student records, student financial aids, information (news) releases, development activities, computing and library support, etc., as well as

outlining such matters as expectations with regard to program review, the role of the Dean, the process for handling proposals for new courses, and the like. This document was completed and appropriately authorized just prior to the Fall Semester of 1987.

The Center, with a new Dean hired from an out-of-state institution, is now operating. I am comfortable with its existence. From the University's view, the major practical difficulty has been in the area of student financial aids, where a myriad of federal regulations have been difficult to interpret with respect to providing aid to students enrolled in a joint venture of this type.

For the future, a major issue that the University will have to address is the curriculum authority of the Center's faculty. Once this faculty invents and gains authorization of a degree program that is their own, the *de facto* status of the Center will veer toward that of an independent School—an equal among equals in the consortium of degree-granting colleges and independent schools that, together, become the University of Wyoming. I hesitate to predict how the University community will respond to a request for a degree program unique to the Center, but it is certain that such a request will engender a major debate.

Developing and Monitoring Cooperative Arrangements

Arlene Larson

Dr. Roland Barden has described the cooperative agreement worked out between the University of Wyoming and Casper Community College to offer upper division courses on the college campus in an entity known as the Center. We—people from the university and from the college—are justifiably proud of ourselves for being pioneers in education in our state—but not so proud that we believe our work is finished. We agreed early that we must monitor the working of the agreement, looking always for what we can do to improve.

Because the university's contribution is in the degrees, its chief concern is the educational programming; accordingly, the agreement calls for an annual review of each degree program. The committees have been appointed and are now in the process of making the first review, with a report due in May 1988, so we've no results from them to date. The university's second method of evaluating has been an informal review by the Dean of the Center in conjunction with the college's monitoring.

Because the obligations of the college are more diverse, we thought we should get some immediate evaluations from a variety of college sources; accordingly, we devised an evaluation form for all deans, directors, and chairs, with first responses due right after mid-term of the first semester. We chose an open-ended form because we were particularly interested in finding out what we didn't know we needed to know. We also talked to the Dean of the Center and to students.

From the forms we learned some small, specific, local items that we will want to address, but for today I have chosen some broad areas that I thought significant for us and of interest to other educators considering cooperative agreements.

1. **Numbers.** Enrollments are up. The Center enrollment is 473; the college enrollment is 4,347, total headcount. Center FTE is 273: college FTE is 2,905. All figures are increases from the previous fall's, the Center headcount being up 22%. Some would say the agreement caused the increases, even in the college enrollment, but, since enrollments are up across the nation this fall, we are not yet prepared to make that connection. On the basis of earlier figures, we had predicted

Arlene Larson is English Instructor, Casper College (WY)

a gain of no more than 20 students—that is FTE—added to the college enrollment as a result of the exchange of students between the college and the Center. The actual number for the first semester was 59. We will watch the numbers carefully in ensuing semesters to anticipate needs.

2. **Attitude.** Our Dean of Faculty characterized his early experience as dealing with technical problems about facilities, but not having to deal with people problems. The questionnaires bear out the dean's comments: very few people problems surfaced. As one would expect, faculty had expressed a wide range of opinion about the agreement; but now that it is in effect—at least during the early phase—the responses indicate that we will have a lot of people actively working for its success. We hope to capitalize on the positive attitudes.

3. **Expectations.** The day after the newspaper announcement of the signing of the agreement, the switchboard operator at the college had over 20 calls from people who wanted to know how they could register—for French majors, for music majors, for medicine. And before the Center was well underway, college surveys for its own planning document, requests to the Center Dean, and the monitoring form turned up eight plans from faculty for new four-year programs. The danger in all this enthusiasm is that we may be exciting expectations among faculty, students, and townspeople that cannot be fulfilled, and the disappointment might damage our credibility. We need to be most careful to respond to this enthusiasm prudently.

4. **Time.** One respondent said that the decision making process is now more complicated: not only do we have more people involved, but we also have people with differing educational philosophies involved. The concrete result is more time spent in meetings, time taken from other activities. Our Dean of Faculty said his time spent with his counterpart had remained about the same, but his time spent with Center faculty who would teach for the college had increased; however the result is that he knows his borrowed faculty better. He also pointed out that the agreement added eleven items to his job description; however, some of them could be negligible, requiring maybe an hour's time a year. We may have thought that after the agreement was signed our administrators could go back to their regular duties; we need to watch developing trends that indicate otherwise.

5. **Services.** The area of greatest change has been in services to Center students. a) The university's additional courses on the college campus have brought more requests for college audio-visual equipment; the delivery system we have is not designed to handle the additional requests, so we have a problem. b) The college business office handles all payments, obviously increasing demand on their time, and obviously making the process easier for Center students. c) Center students are beginning to use college counseling services, a kind of opportunity which had been minimally available to them under the old system. Of the total hours of counselors' contact time, only 2% went to Center students during the first two months; however, college counselors had seen 18% of the students at the Center.

Also the biology department reports some additional time spent in casual, ad hoc advising of science majors at the Center. d) The placement office reports that 10% of their clients have been Center students, a number that is taxing their limited staff. The university had no such opportunity previously. e) And there is an undocumented perception that the Center students are putting a strain on our walk-in computer labs, another kind of opportunity almost nonexistent for them before the agreement. The theory is that the upper division students use computers more freely than do lower division students, so the additional students in the lab are out of proportion to the total number of Center students.

A major goal of the agreement was to enhance services to the Center students; we seem to be succeeding. Since the college bears the cost of these services, we need to keep counting periodically to avoid overloads and breakdowns.

6. **Courses.** Course offerings have not improved so rapidly as services. A problem inherent in a small unit is having too few faculty to offer enough courses to make acceptable and attractive programs. The Dean of the Center has quickly seen the problem and set to work: his first goal will be to offer courses according to student need rather than haphazardly. It will be another year at least before we can assess efforts to improve offerings at the Center.

7. **Libraries.** We knew from the inception that in addition to space problems, people problems, and philosophy problems, we had some systems problems in the libraries against which we were going to stub our shins: for one thing, the university uses the LC numbering system; the college uses Dewey Decimal. One needs to think only briefly about that difference to see there is no easy way to combine them. After the first few months, there is also a perception that the college collection is useful to the upper division students, but the Center collection is not correspondingly useful to the lower division students; consequently, the burden of services overbalances onto the college library. We like to think that with time and perseverance we will find answers to these problems, but there is one more: the Center library is inadequate for the work of upper division students. It is small and it lacks breadth. The university library is 150 miles from the Center campus and the document delivery system is not as efficient as we would like. Apologists talk about electronic data banks and interlibrary loans, two services which greatly enhance opportunities for both college and Center students; however, neither of these services provides the critical mass of books for browsing, comparing, exploring so necessary to scholarly achievement. On the other hand, some estimates are that the college collection is close to adequate for four-year programs though not for the MBA; however, neither the college nor the university is—right now—offering to pay to expand the college library in itself, for obvious reasons. To my mind, creating an adequate Center library is the most critical unresolved problem of the agreement.

We are proud of being pioneers and, on our first round of evaluations, we are chiefly pleased with our plowing of new ground. We have two broad conclusions about the

monitoring: 1) We need to keep checking because just asking seems to have a positive effect on people, we can use the information, and we need to watch certain trends. 2) We expect to get different kinds of answers after two years when the Center is a familiar presence, but we are curious about what kind.

From these absurdly brief summaries, we hope to give others some foresight about what might happen with a cooperative agreement similar to ours. To summarize, we can say that the idea has been well received: we are rapidly accomplishing the easier goal of providing collegiate services to upper division students; and we have found, as we expected to, that programming and library facilities are more difficult to provide with the high quality we are aiming for.

Contracting for Educational Services: Identifying Expectations and Evaluating Outcomes

Daniel T. Hayes

As institutions begin to move forward into the next decade, and given the financial constraints that most postsecondary institutions are faced with, alternative systems for the delivery of instruction will need to be explored. No longer can a single institution promise to be everything to all students. More and more colleges seem to be identifying particular programs they can provide best, concentrating their resources in these program areas, changing and adapting these programs slightly as conditions, student needs, and technology change, and growing reluctant to devoting resources to new programs. One alternative that is appropriate for some institutions to explore is contracting for educational services in order to add new programs that would otherwise not be available to the institution.

Contracting for instruction is really nothing new. In fact, many institutions for years have been "purchasing" instruction in many forms. For example, many community colleges have "bought" clinical instruction for health-related programs over the last two decades, and the results of this cooperation through contracting have benefitted students and the sponsoring institutions as well.

Ideally, contracting for instructional services should involve more than mere "brokering." Rather than an institution's simply purchasing instruction from another agency or institution and sending students there to attend classes, the best form of contracting for educational services needs to involve a considerable amount of control being exercised by the "purchasing" institution. Two of the best methods to assure that the institution seeking to contract for instructional services is able to assure adequate control over the instruction being purchased involve identifying expectations of the agency, group, or other institution providing instruction and evaluating the outcomes of the purchased instruction.

In all instances where contracting is being used by a college in order to provide a broader range of programs than it could ordinarily provide through traditional instruction, one of the first steps should involve the efforts of the institution's attorney.

Daniel T. Hayes is Vice President for Educational Services, Thornton Community College (IL)

A legal contract needs to be drawn up, and the contract should not only specify such things as where students will attend classes, where they will register, what the fee being paid for the instruction will be, and other logistics of the purchase of instruction. Most crucial of all, the contract should specify expectation of the actual provider of instruction as well as outcomes that are expected as a result of the purchase of instruction.

Within the body of the contract, very clearly stated expectations of the purchasing institution need to be identified. These expectations should spell out just exactly what learning outcomes for students are expected to be provided by the agency or institution actually providing the instruction. Specificity with respect to these expectations will better enable the purchasing institution to determine if the instruction being provided is suiting its needs as well as student needs. For example, if a college, unable to provide its own instructional program in an emerging technical field because of prohibitive start-up costs, decides to develop a contract to purchase the program from another agency or college, the purchasing college needs to include within the contract a section dealing with precise technical skills the students are to learn. Only by devoting a considerable amount of attention to these expectations can the purchasing institution be certain that it and the students involved are "getting their money's worth."

A second critical component of the contract needs to involve the means by which the instruction is to be monitored or evaluated by the purchasing institution. It is not sufficient, particularly from an accreditation standpoint, for the purchasing institution to relinquish this responsibility to the agency or other institution providing the instruction; it is a responsibility of the purchaser to assure that quality instruction is being provided to students. There are several ways this can be done. One of the best ways involves regular, periodic classroom visitations of administrators from the purchasing institution to the classes where instruction is being provided to its students. Another alternative would require that a systematic approach to student course and instructor evaluations be provided by the institution receiving payment for instruction. Finally, it is ideal, particularly in those programs where clearly identifiable skills are being taught, if student learning outcomes can be assessed and compared with learning expectations previously identified. Only in this way can the purchasing institution make certain that the program or courses it is purchasing are of sufficient quality in order that the contractual arrangement continue.

In summary, the best form of contracting for the provision of instruction involves more than a simple purchase of instruction by one college. It should involve the same types of "quality control" that are available through traditional instruction: identification of expectations of the instruction to be provided and assessment of the outcomes of the instruction.

Contracting for Educational Services

Howard A. Sulkin

Contracting for educational services, in various forms, has been common in higher education throughout this century. However, because of significant changes that have occurred during the last two decades in such areas as audience configuration, curriculum design, financial models, personnel practices, and marketing and enrollment management, the perceived need for such contracting has increased tremendously.

Individuals, for-profit businesses, and a range of not-for-profit organizations, including colleges and universities, have become actively involved in such services for the educational market. A small number of approaches, from a very wide range of possibilities, include:

- **Consultation** on a variety of topics;
- **Consortia relationships,** where one accredited institution provides teaching services to one or more other institutions in order to reduce duplication and costs;
- **Contracting-inward,** where an institution hires an outside group to run a specific unit of the institution. Common examples of this include recruiting adult students, conducting life experience evaluations, running one or more of the business and financial services;
- **Contracting-outward,** where a college or university makes educational programs available for and at companies, unions or government agencies.

Our purpose in this discussion, as the title implies, is not to warn institutions away from such contracting, but instead, to insure that the contracting relationship is as effective as possible. In order to achieve such effectiveness, four components need to be considered:

1 **Motivation**	2 **Search Process**	3 **Framework of the Relationship**	4 **Evaluation**

Howard Sulkin is President, Spertus College of Judaica (IL)

1. **Motivation:** What is motivating your institution to discuss such a contract? Is it out of desperation and frustration or because the perceived need is currently fashionable, or on the other hand, is it because this is part of an orderly process of ongoing institutional improvement that has been carefully thought-out and is understood and accepted by the appropriate people throughout the institution? The answer to these questions will affect seriously the way in which negotiations are conducted, the realism of the expected outcomes, and what actually takes place in the relationship.

   Another aspect of this initial component is the compatibility of the mission and values of your institution with those of the contracting individual or organization. So often, when there is a mismatch between the two, this leads to significant tensions in the relationship and to lack of performance.

2. **Search Process:** While all of the issues discussed in this paper are important in a contracting relationship, none are more so than insuring that the expected outcomes for the relationship are carefully spelled-out prior to the search, that these outcomes have been thoroughly discussed, and that provisions have been made for periodic assessments of the outcomes at key points in the relationship. While it is expected that there will be some evolution of these outcomes during the search process and during the implementation phase, the vast majority of the outcomes must be defined early.

   Once these expectations have been clarified, the next important issue is where to find the appropriate resources. Because of the complexity of this issue, many institutions rely on local "friends" or on organizations that have been used by other institutions in the geographical area. While these sources can be effective ones, a more thorough, broad-ranging search may prove more effective for the institution in the long-run.

3. **Framework of the Relationship:** One of the most confusing aspects of this third component is the establishment of fees. There may be little consistency across individuals and organizations in the fees that they quote for what appear to be identical services. What is important here is to insure that everything possible is done to specify contractually what will be done, how often, by whom, what process will be followed to negotiate a range of possible problems, and finally, what are the clear indications of performance.

   It is natural that after a period of such contracting relationships, that the institution begins to assimilate the knowledge and skills inherent in the contract, and gains the capacity to do some or all of the work itself. Thus, there should be provisions in the contract for phasing-down the relationship, or eliminating it entirely.

   Whatever the nature of the relationship, regular periodic joint assessments must be conducted. This will reduce the chances of surprise problems and will enhance communication and performance attainment.

4. **Evaluation:** At least once a year, a very thorough evaluation should take place of the relationship based upon the outcomes previously specified.

Non-Traditional Programs: The Adult Learner

Phyllis M. Cunningham

Non-traditional education has been defined as:

> ...more an attitude than a system and thus can never be defined except tangentially. This attitude puts the student first and the institution second, concentrates more on the former's need than the latter's convenience, encourages diversity of individual opportunity rather than uniform prescription and de-emphasizes time, space and even course requirements in favor of competence and where applicable, performance. It has concern for the learner of any age and circumstance, for the degree aspirant as well as the person who finds sufficient reward in enriching life through constant periodic and occasional study. This attitude is not new; it is simply more prevalent than it used to be. It can stimulate exciting and high-quality educational progress; it can also, unless great care is taken to protect the freedom it offers, be the unwitting means to a lessening of academic rigor and even to charlatanism... (Commission on Non-Traditional Study, p. 1).

The above definition helps us to see that 1) there are a number of traditional criteria on which a non-traditional program can vary and 2) quality is a major concern in non-traditional programs. It is around these two points that I wish to organize my thoughts.

To what degree is any program non-traditional? Houle conceptualizes external degree programs into three types: 1) extension, 2) adult, and 3) assessment (Houle, p. 15). Each is progressively more non-traditional than the previous one. Essentially, an **extension degree** simply extends the curriculum to another time (evenings, weekend) or place (off campus sites). There is or should be no difference between what is taught on campus in conventional time periods with that which is extended. The **adult degree,** on the other hand, will have a distinctive curriculum which is based on some principles of adultness. Thus the maturity, the responsibilities, and the perceived uniqueness of the adult learner causes a substantive change in the curriculum. Roosevelt University's Bachelor of General Studies program is an example of this type of degree. Whitehead's philosophy was the theoretical starting point upon which the curriculum was inverted to accommodate adult uniqueness.

Assessment degrees also are conceptually distinct. The organizing principle of such programs separates instruction from the awarding of credit and the ownership of the

---

Phyllis M. Cunningham is Professor of Adult Education, Northern Illinois University (IL)

credit belongs to the student rather than the institution. This means that where and when learning is done is not as important as assessing what has been learned. Many of these programs are organized around competencies rather than subject matter and experiential learning is as valid as what Brunner calls abstract symbolic learning (1966).

Accordingly, in developing or assessing non-traditional programs, the first concern is to see how the program is conceptualized. What one finds is that the degree of nontraditionalness shapes the evaluation. If it is an extension degree, the evaluative criteria center on the comparison of the two delivery structures since the curriculum is not different. Are faculty, library, counseling, registration, and advisement services qualitative and quantitatively similar to those of the traditional programs?

The **adult degree** will need to be envisioned and judged by the robustness of its conceptualization. How does the theory take note of the distinctiveness of being adult, how are the theoretical constructs operationalized, to what degree is the operationalization consistent throughout the program, what means have been taken to demonstrate the validity of the construct?

Assessment, which is not limited to but is imperative for **assessment degrees,** can be conceptualized on a continuum which goes from 1) course credit to 2) contract degree to 3) an entirely new conceptualized degree. Thus, programs such as the Illinois Board of Governors assess work which can be translated to traditional courses in the catalog. This is the more conservative approach to assessment. Contract degrees assume that each individual can devise his or her own degrees so assessment is administered in terms of competencies towards a program of study individualized for each student. The UWW (University Without Walls) programs operate on this model. Finally, there is the type of program in which the baccalaureate degree has been redesigned and students can apply old or new learning to the newly conceptualized degree usually expressed in competencies. The DePaul School for New Learning follows such an approach.

Again, when one develops or evaluates programs, it is important to recognize the kind of degree one is working on or towards. Evaluation of the **assessment degree** should center on assessment. Who does it, how is it done, how is it financed, how has reliability and validity been established, what linkage or at least awareness is there between the local program and national agencies of assessment, and how are credits recorded? A second type of concern relates to the integrity of the curriculum particularly when assessments are organized around courses. The question of how the program links up courses conceptually and integrates knowledge across these artificial divisions is crucial.

With **contract degrees** or with **newly conceptualized degrees,** evaluation has to consider carefully the quality of the assessment including the level at which work was done. Clearly the problems in assessing competencies is not only what one does but also how well and at what level of difficulty.

Finally, the issue of "cheap degrees" must be considered. Charlatan inspired degrees are easily spotted, and most of these never come to accreditation bodies. What is more difficult to do is to help institutions wanting accredited programs not to fall into the trap of mistaking innovation with shortcuts. Some institutions believe non-traditional education is cheaper than traditional. This is not true in most cases, if one provides for the non-traditional program the same quality assurances built into traditional support systems. Non-traditional education is different and can be based on different assumptions. However, this does not mean it can be simply "added on" to provide credit hours at no greater cost. On the other hand, institutions must be helped to see that non-traditional programs need to be allowed similar variations in quality as traditional programs. The intriguing situation is one where non-traditional programs are held to higher standards than traditional offerings. Thus portfolios are put under a microscope, while traditional courses with 500 students and one professor in a lecture hall are considered the norm.

Every non-traditional program should devise program assessment strategies along with appropriate evaluation criteria that satisfy the assumptions under which their program is organized. Data generated should be made available for students, faculty, and accrediting teams to provide for systematic program improvement.

Summary

Non-traditional programs were developed to serve the adult learner wishing to complete postsecondary education. The quality of the degree earned must be maintained; further that quality needs to address the assumptions underlying the program changes. These assumptions may be quite different than traditional programs.

References

Brunner, J.S. (1966) *Toward a Theory of Instruction*. Cambridge: Harvard University Press.

Commission on Non-traditional study (1973) *Diversity by Design*. San Francisco: Jossey-Bass.

Houle, C.O. (1973) *The External Degree*. San Francisco: Jossey-Bass.

Non-Traditional Programs: The Adult Learner

Susan T. Rydell

Programs and services for adult learners frequently slither into an institution through side and back doors. Then, it is deemed appropriate to acknowledge such programs and services by modifying the institutional mission and purposes to include some variation of the theme "serving the needs of adult learners." This clearly is not an example of institutional best practices, but from this C-E's vantage point, it is an example of a common practice. As programs and services for adult learners proliferate in the future, institutions must become more self-conscious in the ways in which they develop and monitor such programs and services, and in the ways they view the needs and characteristics of adult learners.

A variety of issues emerge when we begin to question our assumptions about how adult learners may—or may not—be different from traditional age students. How an institution views characteristics of adult learners can positively influence academic program design and delivery. On the other hand, some academic program features which may be of dubious quality can be justified in terms of an institution's responsiveness to perceived needs of adults. Examples of some of these issues follow:

1. **Adult learners as transfer students.** Many adult students come to our institutions with some coursework taken at several institutions, and all adult students come to us with a wealth of experience and learning derived from home, work and community activities. The question becomes how can we best evaluate that individual student's background to properly place the student in the most appropriate academic program. Have faculty members recently reviewed transfer policies with adult students in mind? Have the diverse backgrounds of adult students been considered? Who reviews transfer credits, and what is the role of faculty in that process? Are transfer policies different for adults, and, if so, what are the rationales?

2. **Adults as self-directed learners.** As adults, we are able to propel ourselves quite adequately through each day. And translating this to the teaching-learning environment, we frequently assume that adults will be more goal-directed and self-directed in their learning than traditional age students. While a few students

Susan T. Rydell is Professor of Human Services, Metropolitan State University (MN)

come to our institutions as self-directed learners, most arrive with over-riding concerns about career directions, about not having written papers and taken tests recently, and the like. Most students want direction from us. Have we analyzed our assumptions related to adult self-directedness? If we wish our students to become self-directed learners, have we fulfilled our institutional obligation to facilitate that goal?

3. **Adults as experiential learners.** While the subject of the awareness of experiential learning is beyond the scope of issues addressed here, the fact of the matter is that many institutions design and deliver adult learning programs with experiential learning components as important aspects of the teaching learning process. The use of learning contracts and more participative instructional methodologies are examples. A frequent justification for the extensive use of adjunct faculty in adult learning programs is that adjuncts bring their experience to the classroom. Many adult students, however, feel they have already had a great deal of experience, and they look to an academic institution to validate the worth of that experience and to provide a meaningful context for the experience. Adjunct faculty who can tell compelling war stories may not have the academic background to provide the theoretical context for learning. Have we carefully examined our pedagogical assumptions underlying experiential learning approaches? What quality assurance checks have we built into our academic programs? Have all faculty—including adjunct—been oriented to these assumptions and quality assurance checks?

4. **Adults have full lives outside the classroom.** Adult learners are generally part-time students who live off-campus, who have jobs, and who have family and other external commitments. Most academic institutions with adult learning programs are very sensitive to these external commitments. Yet in a number of cases these commitments are used as justifications for not providing certain activities and student services. As a Consultant-Evaluator, I have heard from many adult learners that they would welcome some opportunities to meet with other learners. Adults are not bashful about letting us know when something goes wrong, but they generally do not know about formal appeals procedures in the event their concerns are not satisfactorily addressed. Some academic programs may build on positive aspects of student lives outside the classroom: students can obtain books at public libraries near their homes, students can use learning resources found in their work environments, and so on. Many questions need to be asked by an institution. Have we appropriately modified our policies and procedures to meet the actual needs of adult students? How are policies and procedures communicated to adult students—and is an adult learner handbook needed? How does an institution regularly communicate with adult learners? Do all students have access to community and at-work learning resources? If so, do they use these resources or are they a part of an institution's academic rhetoric?

5. **Modification of degree programs for adult learners.** Many institutions have dealt with a number of the concerns cited above by opening special services offices

for adults or women, and by designing entry-level orientation and educational planning courses. Many academic program features are frequently waived or modified: standardized test scores are not required for admissions, P.E. requirements are waived, evening courses are modified from day-time equivalents. Special evening courses may be developed to meet general education or major requirements, and a mixed bag of transfer credits—usually vocational in nature—are used as electives. Institutions then are careful to explain how adult learners are receiving the same education and degree as traditional age students. If they are not the same, they are justified as comparable. But it the education and resultant degree the same or comparable? Should it be the same or comparable?

There are some relatively simple things an institution can do to obtain an initial assessment of its own program and services for adult learners:

1. Walk a hypothetical adult student through your complete educational process from admissions to graduation. Check the procedures being followed, check what becomes part of the student's record, and check all correspondence—official and informal—that a student receives at each step along the way.

2. Review the role of resident faculty throughout the adult learner's enrollment. Check faculty sign-off on individual student degree programs, and check that resident faculty are available for regular academic advising.

3. Review the introductory material in your institution's catalog and "think like" a potential adult learner. Is it clear which sections apply—or don't apply—to adult learners? If some sections do not apply, are there other policies and procedures published elsewhere a student should know about? If some sections do not apply, what are the institutional justifications for that?

4. Check your institutional data gathering systems. If you need to know something about your adult learners and their degree programs, are present data gathering systems satisfactory?

5. Read your institution's mission and purposes. Is that what's happening for your adult learners?

Adjunct Faculty

Brenda Marshall Beckman

The absence of policies regarding adjunct faculty is sometimes the cause of inconsistencies and inequities in institutional behavior towards this vital group, and there are few institutions which, in consequence, do not suffer from some degree of guilt regarding their overall treatment of adjunct faculty. On the other hand there are large numbers of adjunct faculty who, while they sometimes feel a little neglected, are overall, satisfied with their lot. Along side them, however, and frequently within the same institution, are adjunct faculty who feel thoroughly exploited and resent the way in which their institution deals with them.

If this sounds like a rather confusing and contradictory situation, it is. The underlying problems are two-fold. First, in order to be able to work most effectively with adjunct faculty, their role and purpose within each institution must be clarified. They may be a resource to make marginal increases and reductions in the schedule possible (a frequent case). They may be a source of knowledge and expertise not available to the full-time faculty. (This is very common in business fields and in some human services and technology programs.) Adjunct faculty may be used to staff areas where there is a consistent but low level demand, or to further affirmative action goals, or to augment the available range of educational philosophies or the teaching styles among the faculty. Whatever the case, the recruitment and selection process would have to be adjusted to the need according to the institution's purpose. Faculty selected by one process for one purpose may not serve as well or with as much satisfaction if they are used for another.

The second problem is the adjunct faculty themselves. Research indicates that there is a variety of motivations and needs which lead people to take less than full-time appointments at colleges and universities. While they can be broken down into categories in many different ways, they essentially fall into two major groups: those who do not want or expect to teach full-time (approximately 75%) and those who are unable to get full-time faculty positions and accept adjunct appointments only as a means of surviving and gaining experience until they can (about 25%). Although these two groups have many support and staff development needs in common, they tend to be rather different with regard to their expectations of the institutions and their own role in it.

Brenda Marshall Beckman is Executive Dean, Pima Community College-East Campus (AZ)

Once an institution has developed a *clear position on the prime reasons for using adjunct faculty*, and has set up a means to gather sufficient information about the adjunct faculty it would like to appoint, it is then possible to design *a recruitment and selection* process that will bring the kinds of instructors into the institution that it most needs. From this groundwork can flow the possibility of a strong, supportive program for adjunct faculty which will bring the greatest satisfaction to them, their students, and the institution as a whole. Such a program has a considerable number of essential elements. These include a thorough *orientation* to the institution, its philosophy, its facilities, its organization, its staff, its support services, its academic programs, and most important of all, what it expects of its adjunct faculty (as well as what it does not expect of them). *Peer interaction* is a second component and should involve adjunct faculty interacting with full-time and adjunct faculty from their own and other disciplines. The third essential component is orienting adjunct faculty to the communications mechanisms of the institution and assuring that vehicles are provided for *communication* among adjunct faculty as well as between them and the rest of the college or university. For those teaching at off-campus sites or other remote locations or at odd times this can present real challenges.

Evaluation programs for adjunct faculty can be informative and helpful to all concerned or they can become explosive problems full of snares and fishhooks. A natural follow-up to an effective evaluation program is inevitably a good *staff development* program, although some components of such a program can be most helpful if offered before adjunct faculty ever enter the classroom, or shortly after they start. The thorny issue of adjunct faculty *compensation* is never easy to address but issues of compensation are somewhat easier to resolve if the institution has done a thorough job of clarifying the purpose and the role of adjunct faculty followed by a good orientation regarding institutional expectations.

Lastly, but far from least, *recognition and reward* of adjunct faculty is of tremendous importance and makes a very great difference to morale and the overall satisfaction of the adjunct faculty and the institution they serve. Modest investments of time, effort and other resources in adjunct faculty can reap substantial returns and may be one of the most rewarding of endeavors which an institution can undertake.

International Programs: Pitfalls to Avoid

Marshall Geer

The first, and perhaps most important pitfall to avoid, is to avoid giving in to the temptation to rush to put programs into place to respond to a "national emergency." International education, or the internationalization of the educational system, has become a buzz word or theme in the last decade. The current outcry about the alleged inadequacy of the American educational system, however, is not new, nor is an inadequate understanding of world politics, economics, and geography unique to the United States. What does seem to be uniquely American is the belief that emergency measures, half thought out and based on foggy and inaccurate perceptions, undertaken on a short term basis with crash priority and a lot of publicity will solve "the" problem, whatever it is. International educational programs should be undertaken only after careful study and analysis of a particular educational institution's mission, constituencies, resources, and capabilities. The diversity of our educational system is a strength that enables our system to provide educational opportunities to the broadest possible spectrum of students, not all of whom are going to be foreign service officers or international business gurus.

Limitations of time preclude more than a passing reference to two points that deserve more complete treatment. First, "international education" in the sense of adequate coverage in the general education requirements is not at issue here. Secondly, the issue of American competitiveness in international business is a separate subject that, as important as it is, has little or no bearing on institutional involvement in international education.

There are many sources of guidelines and information about the creation and administration of international education programs, so many that only a few can be mentioned, but each listed here in the references has been useful in shaping the subsequent presentation. (The Executive Committee of the Association of International Education Administrators has appointed a task force to review existing standards and guidelines to provide a useful compilation for interested parties.)

The focus of this presentation will be on the operation of American programs abroad. The foreign student question, which is a major concern, will be included only as it is

---

Marshall Geer is Vice President-Academic Affairs, American Graduate School of International Management (AZ)

relevant to the question at hand. For the purpose of discussion, and based on a purely personal classification scheme, there are the following _____ types of international programs:

1. The classic "junior year abroad" program. (Bowman, pages 13-18, contains a good description of this type of program.) In this type, typically a student enrolls in the foreign educational institution, although not always in the regular curriculum, and receives transferable credit toward the American degree.

2. The overseas campus. This has several variants:

   a. The American institution operates its own program, usually restricting enrollment to its own degree candidates, providing all of the faculty and renting facilities. Credits are applicable to degree programs on the home campus.
   b. The American institution provides programs to students from a variety of American educational institutions. Credits are transferable to the home campuses.
   c. The American institution provides degree programs primarily for American expatriates.
   d. The American institution provides degree programs for a foreign constituency.

3. One-to-one reciprocal exchange programs. Like the "junior year abroad" program, these usually allow the American student to earn credit toward the American degree while enrolled overseas, usually directly in the normal curriculum of the overseas institution. It differs in that it is typically financed by mutual fee remission, which implies the admission of foreign students into the American program.

Observations on Problems

The first problem is one addressed by all of the common references, but clearly articulated by AASCU: "Has the governing board addressed international education in the institution's official mission or mandate?" (AASCU, p. 2) As a follow up, has the role of international education in the mission statement been made known to the academic community and become part of the goals, objectives and policies that are involved in the creation and implementation of international educational programs? This is so obvious a statement in the North Central context that it should not need further development, but that is the essence of the problem — often international programs are developed at the departmental level, with little or no upward communication, and only ex post facto efforts to relate the programs to the institutional mission. Bowman reports that central offices administering study abroad programs indicated that "they would not necessarily be aware" of certain types of exchange programs. (Bowman, p. 29) In a survey conducted by the Thunderbird Office of Admissions of 147 institutions offering international business programs, the central administration was either unaware of the existence of the program or unable to provide the correct information on the person or

office to contact in nearly 50% of the institutions called. The evidence seems to suggest that lower level enthusiasm may create programs that may or may not be properly integrated and coincident with institutional objectives.

Certain other problems areas flow naturally from the first. A few obvious ones:

1. What evaluation will be made of the student experience? Is the "benefit" of the program cultural or academic? Specifically, for example, are the living conditions conducive to cross cultural immersion, or are the students living in relative isolation? Does the academic program reflect or relate to the local environment? Do the academic credits received make unwarranted assumptions about quality of faculty or number of contact hours? The list of questions can be extended, but the key requirements are that the outcomes must be related to educational objectives ex ante, and evaluation must be carried out by persons with an understanding of both the institution's objectives (mission) and the foreign educational milieu.

2. What is implied or expected with respect to faculty involvement in these programs? If programs are of either the first or third type listed, faculty involvement is minimal. This can be a "benefit" in that no scarce faculty resources are drained to support small student populations, but it becomes difficult to justify the program in terms of internationalizing the faculty, unless faculty are sent in the role of resident directors. If faculty are "sent" either as resident directors or as teaching faculty, does the institution recognize this in the reward (promotion and tenure) system? How are the faculty chosen, and how is their performance evaluated? This last question is often the major problem in faculty recruitment if there is no clear institutional commitment to international education. How realistic are the evaluations?

3. How are the overseas partners chosen? If the involvement of the local partner is minimal, then some of the subtle pitfalls may be of lesser importance than if there will be academic exchanges. Even in these minimal cases, the appropriateness of the foreign partner to the educational and philosophical mission of the American institution cannot safely be ignored.

Useful References

1. *Guidelines for College and University Linkages Abroad* by the Division of International Education of the American Council on Education. In addition to guidelines, also includes lists of American organizations which assist linkages and of contacts in a fairly lengthy list of countries.

2. *NAFSA Principles for International Educational Exchange* by the National Association for Foreign Student Affairs. The primary focus is on the foreign student in the U.S., but there is also a section dealing with study abroad.

3. *Guidelines: Incorporating an International Dimension in Colleges and Universities* by the American Association of State College and Universities. This small pamphlet deals with general issues of international education rather than programmatic specifics. List of additional references.

4. *Educating American Undergraduates Abroad: The Development of Study Abroad Programs by American Colleges and Universities*, CIEE Occasional paper on International Educational Exchange No. 24, by John E. Bowman. History and descriptions of study abroad programs in 82 institutions.

5. *Principles for Study Abroad* prepared by Jon Booth. University of Minnesota, in September 1981 for the National Association for Foreign Student Affairs and endorsed by the Board of Directors of the CIEE November 1982.

The Real Curriculum

Joseph S. Johnston, Jr.

A lack of information on the arts and sciences coursework of today's undergraduates seriously hampers institutional and national efforts to promote and improve liberal arts education. Because we have little current data on what arts and sciences courses students actually take, or in what combination they take them, we cannot even say with authority what a liberal arts education is for today's students.

Some 34 institutions are now participating in a national study that will address this problem. The study will be conducted by the Association of American Colleges with funding from the Pew Memorial Trust and technical support from the University of Pennsylvania's Institute for Research on Higher Education (IRHE). Its purpose will be to improve the understanding of what actually constitutes liberal arts education both for preprofessional students and for those in the arts and sciences.

Briefly, the AAC Liberal Arts Data Base will identify and analyze patterns of liberal arts coursework taken by business, engineering and arts and sciences undergraduates at a national sample of 34 institutions. Transcript analyses will reveal the course sequences by which students move through the curriculum and provide measures of the breadth, depth and degree of sequencing of their work in the arts and sciences. Comprehensive and summary publications will report results of the study to education leaders nationwide. A microcomputer application (and user's manual) will be developed so that participating institutions can undertake their own further analyses by comparing their results directly with those of various institutional peer groups.

AAC has carefully selected the 34 institutions it is inviting to participate; they provide a sample that is nationally representative in terms of such factors as range of enrollments, programs, institutional types, locations, and forms of control.

Arts and Sciences only

Carleton College
Bryn Mawr College
Lawrence University
Mt. Holyoke College
St. Olaf College
Scripps College
Williams College

Arts and Sciences and Business only

Austin College
Franklin and Marshall College
Mt. St. Mary's College (CA)
University of North Carolina-Asheville
Berea College
Rhodes College

Joseph S. Johnston, Jr. is Director of Programs, Association of American Colleges (DC)

Engineering only

South Dakota School of Mines
Colorado School of Mines

Business only

Bentley College

Arts and Sciences and Engineeering only

Johns Hopkins University
SUNY-Stony Brook

All Three Curricula

California State University-Sacramento
Howard University
Stanford University
New England College
Texas A&M University
Trinity University
University of North Dakota
University of Illinois
University of Maine
University of Maryland
University of Pennsylvania
University of South Carolina
University of Tulsa
University of Virginia
Villanova University
Washington University

Because the research methods to be used are still under development, we do not yet know the full range of applications that will be possible. It seems clear, however, that the study should help provide academic leaders answers to a range of questions. A university dean of business or arts and sciences or engineering, for example, should be able to find answers to such questions as:

1. What is the liberal arts education of our students—in terms not of the courses we offer, but of the courses they actually take? What specific courses does it encompass?

2. To what degree is the liberal arts coursework of our students characterized by breadth? by depth? by sequencing (progression through a series of related courses)?

3. How does the liberal arts coursework of our students compare with that of students in other programs in our institutions?

4. How does it compare with that of students in the same kind of program at other institutions?

5. Are our students doing appropriate coursework in those areas of the curriculum in which they are not specializing? Or are they creating their own ersatz curricula?

6. What is the role of a given course, as revealed by the academic homogeneity or heterogeneity of the students enrolled in it? Is it serving the intended population

in the intended way, or does it seem to provide a subset of students an inappropriately 'easy' way of meeting a requirement?

As these examples suggest, the findings should shed light on a variety of questions bearing on the quality and coherence of undergraduate education. They should interest not only deans, but also students, faculty, provosts, presidents, trustees and a variety of external agencies.

It is AAC's hope to secure funds for future analyses and to expand substantially the number of institutions submitting transcripts. As it does so, uses for the product may emerge in the realm of institutional accreditation.

CHAPTER XVI

SELECTED PAPERS ON SELF-STUDY AND INSTITUTIONAL IMPROVEMENT

Observations on Self-Study and Evaluation

Neil Thorburn

This kind of regional meeting is an excellent idea. It gives many of us an opportunity to get better acquainted with members of the NCA staff, to come to know the Commissioners, and to share common (and alas, sometimes uncommon) experiences about NCA with other consultant-evaluators involved in the accreditation process. All too often I realize that many of us are but voices to each other on the telephone and that, except for those who attend the Annual Meeting in Chicago, we don't all that often see each other in person.

NCA is much on my mind at home these final days of October, as perhaps it is on some of yours, as we enter the final stages of the self-study process in preparation for a team visit to us in the next cycle this academic year. Sometimes there are advantages to being President after all, one discovers at times like this—someone else gets to chair the self-study task force and prepare the final document. I get to edit, to be an inhouse critic and to move into and out of some intensely interesting discussions at will. It's exciting, but sometimes awesome, and one urges preparation for a visit with all the intensity of wishing to be just a bit better than was that last campus you visited. Will the team come to you with the same respect you approached another campus, you wonder—and worry?

So, for a few minutes then, where are the strengths of this accreditation process as we see it from the campus and as consultant-evaluators see it once or twice each year—on another campus? Two things stand out to me—first it is an occasion for self-study, and second, a chance for evaluation and scrutiny by visiting consultants. Some of us summarize the report of an institutional visit in the form of a short list of strengths and concerns. Let me then set forth my observations about self-study in that framework.

Strengths:

> The self-study is a marvelous opportunity for institutional investigation, introspection and analysis. Campus community evaluation of common assumptions can bring together disparate points of view on major matters. Most college administrators, to cite an example, understand what is meant by an institution's mission and can articulate it well. Faculty members all too often assume they can do it; but when they do, it is often from a disciplinary perspective or it is the view

Neil Thorburn is President, Wilmington College (OH)

from their end of the campus, not a total concept. Students are the worst, unless it be trustees (with all due respect to those of you who may be trustees); they all know what their college/university stands for, but they don't state it, probably because no one ever asked them to do so.

Exceptions exist, of course, so perhaps nowhere else than in a self-study is there a better opportunity for those far-sighted faculty members who have that institutional perspective to work with administrators in educating and involving other faculty members in documenting more clearly how they state their mission as an institution and carry it out. The process has its pitfalls, of course, but the end result is a better understanding of where the institution is and where it hopes to go. The process does work.

A faculty member asked me just the other day, after a spirited discussion of the relationship between the mission statement and the quality indicators of our freshman class, in a group meeting at which I happened to be present what visiting accreditation team members would think of the discussion had they been present. Oh my, I said! No, actually, I went on, they would probably enter into the discussion themselves, later reporting affirmatively that the planning process is pursued at this college by a sizeable group of faculty members and administrators with vigor and enthusiasm.

A second strength of the self-study process, it can lead to an honest expression of hopes and frustrations. It requires analysis of facts and figures that are always there for all to see—admission statistics, financial data, gift receipts. But not everyone on campus knows or understands that information. Here is an opportunity to educate and to build. It requires the institution to look at itself as others from outside might be looking at it.

A third strength I believe can also be briefly stated—it provides motivation for doing a better job in teaching, course planning, advising and other student services, to say nothing of financial management and fund raising. There's always room for improvement anywhere, and self-study gives us the chance to recognize that and do something about it, often without fanfare and a lot of negatives. No one should be engaged in the self-study process just to impress North Central, nor should accreditation be held as a club. It does offer a good excuse to get things done, no question about that, but I'm more convinced than ever that a good amount of soul searching can quietly take place, and that institutions come out of an accreditation study doing a more effective job, irrespective of the visiting team's final evaluation.

My concerns about the self-study process:

It is time consuming. It can detract from the daily, weekly, monthly routine, the more particularly when it has to be done more often than once in a decade. Some further thought might be given to the benefits of the **focused** visit, as opposed to

another comprehensive evaluation, if the time between visits is determined to be less than the maximum ten years. I've seen it done more frequently recently, but perhaps it should be done more often in the future?

A second concern I have about the self-study process—the frequent unevenness of the final documents. They vary greatly in quality, to say nothing of quantity. The NCA staff know that better than any of us. I know what difficulties would ensue from more effort at similarity of format, structure or required content. Most of us in this business cut our teeth as faculty members, and nothing draws forth that ingrained habit of intellectual independence more than an agency requirement that we do something exactly their way. I suppose we might try it; I suspect the resistance would draw together even the most polarized of faculty and administrators! We get enough of conformity from the Department of Education in Pell validation requirements and like procedures.

So much for self-study. Now, what about the strengths of the accreditation visit itself?

What better opportunity to get modestly priced consulting advice from a team of professionals? By and large, our teams are carefully chosen, and consultant-evaluators nearly always find themselves on a campus new to them, but one with familiar problems, like frustrations and similar strengths. The visiting team can relate (warning: empathy is dangerous) and because they feel at home, they pursue the visit with excitement, full of interesting conversations and late night reading of someone else's version of familiar documents like meeting minutes and syllabi to see how they have done it and why it works for them.

The concern here—we need honesty and openness. Visits can be a nervous experience. Deans get used to being harangued by their favorite faculty critic, but it's embarrassing with an outside evaluator looking on. No one wants a bad evaluation, and it is often a temptation to ask the campus to put on a good face. Draw the line at telling people to behave themselves while the team is in town. It's better to be yourself—warts and all.

Here's where the match of team and institution is important. We've all got problems, and we all do some things well. The weak institution with a host of problems, I've discovered, nearly always gets substantial credit for having identified those problems in a searching self-study, for elaborating freely on those issues with the visitors and encouraging their suggestions. That "advice" section of any final report can be its most valuable part. It won't affect the commission decision, and it can help greatly. An institution that can show its difficulties, explain what it is doing about them and what it hopes to accomplish by doing so is just bound to be reported as "accomplishing its purposes" and told that it can continue to accomplish those purposes. To paper over cracks, to gloss over weaknesses doesn't fool anyone for long, and leaves the impression of a less effective institution.

Those colleges and universities receiving the most praise from the accreditation review are always those that take the process the most seriously. There is much more to

teaching and learning than a group of students going to class three days a week. Self-study and the evaluation of an institution for accreditation illustrates that. The best advice of all that I can give: since we've got the requirement—use it. Because we have a dedicated staff in Chicago, use them, too. And remember, we all use Commission approval as an illustration of institutional strength.

Developing the Self-Study Plan

Paul L. Gaston

Every self-study plan represents a series of choices among a variety of alternatives. Successful self-study plans rest on choices which are well-informed and appropriate to the institution. Hence, the two most important requisites in planning for the self-study are knowledge of the essential stages of a self-study and knowledge of the institution. No less important to careful planning, however, is the recognition that each planning decision represents an accommodation with trade-offs which must be carefully and realistically identified.

Effective planning for self-study begins with a recognition of the different stages in the self-study process. There are at least eight such stages implicit in every effective plan. Each stage offers an opportunity for institutional strengthening, just as each offers pitfalls which should be avoided. The pitfall which deserves widest berth, however, is that of ignoring at the outset one or more of the stages. These stages may be listed as follows:

1. Initiating the self-study
2. Initiating development of the self-study plan
3. Choosing a structure for self-study
4. Implementing and maintaining the self-study plan
5. Writing the Self-Study Report
6. Applying the results of the self-study
7. Evaluating the self-study
8. Sustaining self-study

Because the gathering of information and the writing of the report seem at the outset such formidable tasks, those developing a self-study plan may tend to overlook the crucial stages of self-study which emphasize the practical benefits of the process to the institution. For instance, the planning for self-study itself represents an opportunity for institutional development, in that the process of choosing strategies for the gathering of information requires that those involved in planning confront the distinctive character of the institution to be studied. Yet it is no less important to anticipate at the beginning of the process the ways in which results of the self-study may be applied to the benefit of the institution. Without a prior commitment to the practical use of self-

Paul L. Gaston is Associate Vice President for Academic Affairs, Southern Illinois University at Edwardsville (IL)

study conclusions and without prior planning with regard to the implementation of such conclusions, the receipt by the institution of the Final Team Report may spell the end of the self-study's usefulness. Similarly, while there should be adequate time allowed for writing and editing the Self-Study Report, there should also be time allocated for the evaluation of the self-study process.

Acknowledgement of the different stages of the self-study process provides an essential context for the appreciation of the choices involved at each stage of the process. Not all of the choices involved may be under the control of the self-study planners, but it is important that all involved in the process recognize the implications of the choices that are made, either deliberately or by default. Further, if such choices are to serve the institution, they should rest on an awareness of the advantages and disadvantages implicit in each.

A second step in planning for the self-study, then, is to understand the various options open to institutions at any given stage. For instance, initiation of the self-study may proceed by a variety of means. The CEO of the institution may begin by appointing a self-study coordinator, who in turn coordinates the selection and appointment of a steering committee. Or, the CEO may name a steering committee, which will in turn recruit and recommend coordinator candidates to the CEO. Or, the CEO, acting with extensive, limited, or no advice from others, may name both the coordinator and the steering committee. And so on.

Similar alternatives appear at the second stage as well. That is, the CEO may initiate development of the self-study plan by presenting the coordinator and steering committee with a plan for self-study prepared administratively. (This option in effect supplants the development stage.) More characteristically, the CEO may authorize a coordinator to develop a plan for his/her approval and the eventual approval of the steering committee. Or, the CEO may authorize the coordinator to convene the steering committee so that it may begin development of the self-study plan. Other options are possible as well.

As a final example, the choice of structure for the information-gathering process in the self-study should be informed, at least in part, by an awareness of available models. In "hierarchical" models, the structure of the study tends to parallel, to a greater or lesser extent, the structure of the institution. Departments report to schools, schools report to broad administrative divisions, such divisions report to the steering committee or coordinator, and so on. Or, studies may be "thematic," i.e., organized according to the NCA "four criteria," the NCA "areas," or institutional objectives. Or, the approach may be "synthetic," one drawing from both "hierarchical" and "thematic" models. In one such instance, the gathering of information through a structure paralleling that of the institution may lead to thematic consideration by some broad cross-disciplinary body of the information which has been obtained. Here too, there are other alternatives as well. The point is that careful planning rests on adequate knowledge of the choices to be made.

Careful planning reflects as well a sense of the advantages and disadvantages in each alternative. Because the self-study process should be tailored to fit a particular institution closely, effective planning rests on the recognition that there are real choices to be made and that a course of action which seems at first to be most appropriate may, following more careful consideration, turn out to be less attractive than some other course.

Obviously, this brief overview of the planning process cannot provide an analysis of all the choices that must be made. Rather, the intent is to suggest through a focus on one of the planning stages the depth of the analysis which ideally should take place.

The example may as well be the first stage of the process, that of initiating self-study. Consideration of this stage suggests a number of alternatives, including the three identified above. The further analysis of this stage requires a consideration of the advantages and disadvantages in each stage.

For instance, there are at least two advantages to the first method of initiation, in which the CEO appoints a self-study coordinator, who in turn coordinates the selection and appointment of the steering committee. First, this method can provide the most expeditious means of initiating a self-study. The identification at the outset of an effective coordinator can do much to provide a focus for organizational efforts. Moreover, this method should enhance the authority of the coordinator and his or her working relationship with the steering committee. On the other hand, this method can lead to an immediate disagreement between the CEO and the newly-appointed coordinator if the coordinator's selection of the steering committee disappoints the CEO. Further, the method may result in a narrow steering committee, one consisting primarily of the coordinator's acquaintances. Even more troubling is the possibility that this method may convey the impression that the self-study process will operate according to the personal imperatives of the CEO or the coordinator. A decision to proceed by this method should incorporate a recognition of these and other advantages and disadvantages.

A second possibility, in which the CEO selects the steering committee, which in turn recruits (or elects) a coordinator, is no less open to discussion. There are several advantages in such a course. First, the method provides an efficient means of initiating the self-study. It is second in this respect only to the method discussed just above. Moreover, the method in most cases will ensure that the steering committee will function effectively with the self-study coordinator. Having been selected by the members of the committee, the coordinator can enjoy at least initially a sense of broad committee support. Perhaps most importantly, the method tends to enhance the credibility of the self-study among the faculty and other members of the university community. On the other hand, such an arrangement may lead to a poor working relationship between the CEO and the self-study coordinator. That can prove a formidable problem, for the CEO and the coordinator must work closely through many phases of the self-study process. A different kind of problem may result if the coordinator selected by the steering committee proves to be a "political" candidate,

rather than a highly qualified one. The task of coordinating a self-study requires the kinds of leadership, organizational, and writing (or editing) skills which a compromise candidate may not have.

In another instance, the CEO may choose to name both the steering committee and the coordinator. Such a move has several points in its favor. First, all top-level participants in the self-study begin the process with a sense of a personal presidential mandate. Further, such an executive action will in many instances ensure compatibility from the outset of the CEO with both the coordinator and the members of the steering committee. Such a move can also emphasize the view of the CEO that the self-study process is an important quasi-administrative activity within the institution. The disadvantages, however, can be considerable. If neither the coordinator nor the steering committee has a role in the selection of the other, a poor working relationship easily may develop. More seriously, such a move may give the impression that the self-study process will operate from start to finish according to the personal imperatives of the CEO alone. Such an impression may well diminish the credibility of the self-study process among faculty and discourage broad participation in its operations.

Neither the alternatives described in this brief overview, nor the listing of advantages and disadvantages pertinent to each is intended to be exhaustive. Serious analysis of the different stages of the self-study process will point to further alternatives and to a far greater number of arguments and counter-arguments for each. Rather, as suggested earlier, the intent has been to suggest the importance of careful analysis in planning for self-study. An institutional commitment to such analysis has three great advantages in its favor. First, it provides a means of accommodating the specificity of the individual institution. Second, it provides an incentive for becoming well-informed about self-study in general. Third, it provides the most systematic approach to the planning process. Disadvantages? If the planning process begins on time, as it should, there are none.

Moving from Candidacy to Accreditation

Marie A. Giacomelli

Once it adopts a goal of pursuing NCA affiliation, any institution—regardless of its niche in the postsecondary/higher education community at large—recognizes that certain responsibilities accompany such an objective. The philosophy espoused by NCA staff and resource materials (and followed at Robert Morris College) is that the institution and those who participate in the accreditation self-study process need to keep in mind that such responsibilities can be shaped to the best advantage and development of the institution while still addressing the Evaluative Criteria for NCA self-study and accreditation.

In the judgment of the institution and from an examination of its NCA affiliation history, that philosophy has contributed significantly in Robert Morris College's case.

Affiliation History

The College began its affiliation with NCA in 1982 by demonstrating that the institution met the General Institutional Requirements. Immediately after receiving a positive review by the NCA staff of the data submitted, the College proceeded late in 1982 with its first formal self-study, and initial candidacy status was achieved early in 1984. Virtually without interruption of the self-study process itself, the College moved toward accreditation with 1986 set as the target date for achievement of that credential. On June 20, 1986, NCA accreditation became a reality for the College.

That much has been accomplished in terms of NCA affiliation during the time period is well recognized by the College faculty and staff. Approximately 75 persons from the College's two campuses served on working committees in both the candidacy and accreditation self-study processes; many others of the faculty and staff provided invaluable information and assistance to their colleagues.

Of greatest importance and benefit, though, is that "self-study" and "institutional development" processes have become synonymous at the College.

Self-Study Strategies

The impetus at Robert Morris College for the philosophy that accreditation self-study activities can simultaneously serve the needs of the accreditation process (Evaluative

---

Marie A. Giacomelli is Vice President-Research and Development, Robert Morris College (IL)

Criteria) *and* institutional development centered in the institution's Self-Study Report in Application for Candidacy Status. There, in response to Criterion Four (which examines the relationship of the Criteria for Candidacy with the Criteria for Accreditation), the College compared and evaluated its current status against the actual Criteria for Accreditation, noting some of its self-identified needs, concerns, and institutional development plans in the context of its present and projected strengths.

The Self-Study Report in Application for Candidacy Status and the evaluation team's report of the candidacy visit served as a springboard for the College in setting an ambitious timetable for itself and in defining the objectives of its accreditation application and self-study.

Among the first decisions made regarding the move from candidacy toward accreditation was that the self-study (including the input, process, and output stages) would follow a dual, synchronized approach addressing:

1. **NCA Self-Study Priorities** (centered around the four Evaluative Criteria and the Combined Data and Evaluation Form)

2. **Institutional Objectives** (focused on institutional development needs identified by the College)

The College also determined that the long-range implications and goals of such an approach would be continuous self-study and on-going institutional development. Furthermore, internalization of these processes was also targeted as a primary goal.

Self-Study Activities

While similar committee structures and data collection methods might be appropriate to both the candidacy and accreditation self-studies (as they were at Robert Morris College), the "move from candidacy to accreditation" in and of itself connotes *and* denotes an embodiment of some additional dimensions. Such considerations including (but not limited to) the following are worthy of lengthy discussions among the institution's top-level administrators in order to maximize the efforts devoted to the process and the benefits that accrue from it.

1. What are the defined scope, priorities, and context of the accreditation self-study (in relation to that of the candidacy process, to the NCA Evaluative Criteria, and to the institutional development objectives)?

2. What relationships between and among the Evaluative Criteria are of special significance to the specific institution?

3. What communication structure should accompany the committee structure in order to address the needs represented by the Evaluative Criteria *and* institutional development?

4. How are the recommendations which resulted from the candidacy evaluation visit to be addressed and incorporated into the current process?

5. What historical documentation purposes are to be served through the self-study process and documents?

General Education Through Goal Attainment

A Case Study of Kalamazoo Valley Community College

Betty C. Chang

The process of review and improvement of general education is continuous at Kalamazoo Valley Community College. Although attempts had been made prior to 1976 to reform general education, nothing concrete emerged from these earlier efforts. In the fall of 1978, an all-college committee was called together by the then Dean of Instruction, Dr. Marilyn J. Schlack, in a renewed effort to define general education; review trends; examine existing courses, programs, or requirements; and make recommendations. The committee took one year to study the context from which it wished to define the general education at KVCC. That context was found within the document from Miami-Dade Community College, "General Education in a Changing Society." Although the spirit of the Miami-Dade document inspired the committee, we attempted to reflect our own community and our own college in the process of moving from their model to the creation of our own document. The committee also took into account the mission and goals of the college, the nature and needs of the community the college serves, the needs of its students, and the significant changes likely to take place in society in the near future.

As a result, 25 goals were inspired by the general education program at Miami-Dade Community College; three were inspired by a statement made by the United States Commissioner of Education; and two were added at KVCC (still one more was added in 1982). The final definition that the committee proposed and that was accepted by the college was:

> General education at Kalamazoo Valley Community College is that aspect of the College's instructional program which has as its fundamental purpose the development and integration of every student's knowledge, skills, attitudes, and experiences so that the student can engage effectively in a lifelong process of inquiry and decision making.

The current 31 general education goals encompass seven broad categories:

1. **Fundamental Skills:** One major goal of general education at KVCC is that students acquire competence in some basic areas. Graduates need to be able to

---

Betty C. Chang is Associate Dean of Instruction, General Studies, Kalamazoo Valley Community College (MI)

communicate with others. Speaking, writing, listening, reading, computing, thinking, searching, and using the commonly available technology are essential to an educated member of our society. (goals 1-6)

2. **The Individual:** Students will understand the forces acting on an individual (themselves and others) and will develop their capabilities for effective living. (goals 7-12)

3. **The Individual's Goals for the Future:** Students will realistically develop a philosophy of education, for both career growth and personal fulfillment, as a lifelong process. (goals 13-16)

4. **The Individual's Relationships with Other Persons and Groups:** Students will relate successfully to others, individually and in groups, within and outside their own racial and ethnic identity. (goals 17-20)

5. **Society and the Individual:** Students will strive to enhance their individual relationships to society and to the human family at large in its history and its future with its many cultures and lifestyles. (goals 21-25)

6. **Natural Phenomena and the Individual:** Students will demonstrate a realistic perception of their roles in nature, and of the workings of natural systems. They will understand the process of science and will apply it in ways which benefit both themselves and the natural environment. (goals 26-29)

7. **Technology and the Individual:** Students will analyze, evaluate, assume responsibility for and be sensitive to the effects of technology on the environment. (goals 30-31)

In March 1980, after several open hearings, the 30 general education goals were accepted by the faculty. Shortly after that, a total review of course offerings ensued. By September 1980, 268 courses were evaluated. A tally sheet for each course was used to indicate whether a course emphasized or met to some degree each specific general education goal. It appeared most of these goals were being met somewhat in those courses. Another tally sheet was distributed which demonstrated the rank order of high to low frequency of importance each goal carried in courses offered. Interestingly, goals having to do with speaking, reading, and writing ranked highest.

It was hoped by the committee that the general education goals would provide guidelines for the general education at the college. Individual courses are responsible for determining how clearly and to what extent students are to meet the various goals. Since these are goals, it is the responsibility of the courses to direct the student to begin or to continue the lifelong process of fulfilling such ends. The rest, of course, must be left to the students. But the courses are a place to begin and to learn to relate learning experiences to each other and to life.

In addition to defining general education and to specifying goals, the committee also felt the need to distinguish basic skills education from general education. Subsequently, a sub-committee was established in the Spring of 1981 to review basic skills education at KVCC. Finally, the committee concluded its study of basic skills and general education in 1982.

To implement recommendations from this committee, several strategies were employed. Another Committee was organized in the Fall of 1982 to oversee the implementation. The first effort was made to raise consciousness and gain support from the college community. The "General Education at KVCC" was publicized. Open hearings were held. Later, the total document of general education goals was included in the 1986-88 Catalog.

Second, the assessment, placement, and advising functions were examined. Subsequently a "Student Opportunity for Success" (SOS) program was instituted in 1985. The SOS, in short, is a small-group orientation, assessment, advising, placement, and registration program, which takes about two-and-a-half hours for all incoming degree seeking students. In addition, ACT's ASSET tests were adopted as the required placement tests for basic skills at KVCC.

Third, a massive movement began in 1983 to incorporate general education goals into various courses and programs. Attempts were made to strive for balance between dedicated distribution of courses and integration into programs through program goals and course objectives. All syllabi were or are being revised to include appropriate general education goals. Decisions on how to reach general education goals were program based. This process is not yet complete. As part of this curricular reform, we also called for the strengthening of basic skills not only in developmental courses but in all curricula. In Fall of 1986, two important reviews began: the identification and redefinition of pre-requisite skills for each course and the strengthening of the associate degrees. These reviews are scheduled to be completed by March 1987.

The fourth strategy is faculty development. Interchanges between general education faculty and the vocational technical faculty have been eagerly promoted through sharing of ideas on curricular matters and through faculty colloquia. Faculty experts in the teaching of basic skills became resource persons to provide assistance and support to their colleagues. Individually, various forms of encouragement have been employed to develop the skills of the teaching of general education of all faculty through sabbatical leaves, course work, idea exchanges, sharing of skills, innovation fundings, and outside funded activities.

The KVCC model with goals has provided not only guidelines for curricular design but also coherence of a relevant lifelong learning experience.

Copies of the KVCC General Education Goals are available upon request.

Measuring General Education Outcomes

Patricia D. Murphy

In preparing for its 1986 reaccreditation visit by the North Central Association, North Dakota State University decided to use the special topics option. North Dakota State University is the state's land grant university with the traditionally strong colleges of agriculture, engineering, home economics, and pharmacy along with liberal arts and sciences, education, and business. The enrollment is about 9,000 students.

One of the special topics chosen was general education. This was not the first time the topic had emerged formally in recent years at NDSU. In 1981 a Faculty Senate subcommittee was established to develop a philosophical statement on general education and to examine the University's efforts in relation to this statement. A philosophical statement was adopted in December 1982, and a set of recommendations aimed at increasing the commonality of the general education requirements across the University's colleges and schools was adopted in May 1985.

Clearly the subcommittee registered important accomplishments, not the least of which was three years of sustained consciousness-raising regarding the general education issue. However, not many were satisfied with the results of the subcommittee's work. Some felt the anticipated outcomes described in the philosophical statement were unattainable; others felt the University should have moved much farther in the direction of commonality; others objected to the lack of any requirement for coherence in the cluster of courses. But the greatest dissatisfaction centered around the lack of any real evidence of the outcomes of the general education program. This led to the selection of general education as one of the special topics.

The primary purpose was to develop some empirical evidence regarding NDSU's success or failure in imparting to its students some of the wide range of skills, attitudes, and bodies of knowledge under the rubric of general education. Thus the focus was on the evidence regarding students' general education outcomes at NDSU. In order to do this, data were gathered on characteristics of the students as they entered NDSU, as they left (graduated), and after they left (as alumni).

Scores on the ACT tests and student-reported high school courses taken provided the data on the incoming freshmen. In addition, data from the entering class of Fall 1982

Patricia D. Murphy is Dean, College of Education, North Dakota State University (ND)

were used to determine what students actually took in the areas of general education. Data from the transcripts of 943 of those Fall 1982 students who were still enrolled at NDSU in the Fall Quarter 1984 (at which time they were juniors) were used. First, an enumeration of student coursework in writing and mathematics was done. Second, the data were also examined in order to determine the average number of credits these junior students had earned thus far (Fall 1984) in the traditional areas of general education. Some of these student credits are not general education, strictly speaking. Courses in the students' majors are included for the Colleges of Humanities and Social Sciences and Science and Mathematics. Likewise, mathematics would not be general education for engineering students, nor would chemistry be for pharmacy students. Even when the credit numbers are adjusted for this type of exaggeration, they still indicate that, generally speaking, NDSU students do: (1) earn substantial numbers of credits in the traditional general education areas and (2) distribute these credits fairly well across all of these areas.

Faculty, students, and alumni opinions of the quality of NDSU's performance in assuring general education outcomes were obtained through the use of survey questionnaires. The respondents were asked to rate a number of undergraduate educational outcomes in response to the question: "What kind of a job is NDSU doing to assure these outcomes on the part of its students?" These ratings were done on a five-point scale. The "general education outcomes" rated included "can write effectively," "understands science and technology," "mathematical literacy," "can think logically," "knowledge of events going on in the world," "understanding of fields other than the major," "interest in acquiring new knowledge," "understanding of other cultures," "appreciation of art/music/literature," "can convey knowledge," and "can participate as citizens."

The COMP Objective Test by ACT was used to assess general education outcomes in three *process* areas of communicating, solving problems, and clarifying values; and three *content* areas of functioning within social institutions, using science and technology, and using the arts. A randomly selected sample of NDSU seniors was tested. Their scores were compared to national reference group norms provided by ACT. Their scores were also compared to six specially created comparison groups, e.g., institutions with missions like and unlike NDSU, institutions with entering student ACT's like NDSU.

The discussion on general education continues at NDSU. Some are attempting to broaden the concept of general education by proposing that leisure and wellness courses, home economics courses, and engineering courses become a part of general education. Others are protesting this further "erosion" of the concept of general education. Being an institution with student credit hour generation driving the funding formula adds to the discussion.

While the discussion continues as to what is appropriately called general education, it is possible to gather empirical evidence about the outcomes of general education. The evidence does not always support the notions some have about the general education

of students at NDSU. Judging from the information on basic skills and general education courses taken by the students, the fact that NDSU students have a great deal of freedom in selecting their general education courses does not seem to be dysfunctional. There is no evidence that substantial numbers of students are taking only humanities courses (or only social sciences courses). Nor is there evidence that large numbers are avoiding mathematics or writing courses.

Revising General Education: A Case Study

Robert Zwier

Death and taxes are sure things; so is revising general education requirements. Survey after survey notes that the overwhelming majority of institutions of higher education are fiddling with general education, trying to find that elusive mix of goals, objectives and courses that will prepare their students for life after graduation.

This paper (and the panel presentation associated with it) tells the story of one attempt to revise general education requirements and courses. In many ways the story is similar to what has happened or is happening on dozens of campuses. The purpose of the presentation is to suggest some ideas about the goals of general education from the perspective of a small Christian liberal arts college and to share some lessons about the process of curriculum revision.

Institutional Background

To understand our experience, it is necessary to know something about Northwestern College. Northwestern is a small (FTE average of 835 in the last ten years) Christian liberal arts college located in northwest Iowa. The college, which is affiliated with the Reformed Church in America, takes very seriously its religious commitments and objectives. Historically, the institution has directed many of its efforts into teacher education; today the largest majors on campus are business and education. In terms of governance, the college has an active system of faculty committees, with the full faculty having the power to approve or veto committee actions.

The process of revising the general education program began in 1981. Stimulated by some faculty and student dissatisfaction with certain components of the existing general education program, by the arrival of a new academic dean, and by looking at what other colleges were doing, the General Studies Committee accepted the responsibility to reflect on what it means to be both a Christian institution and a liberal arts college. The first step was to conduct a survey of the faculty, asking for perceptions of the current programs and for suggestions about revisions. While many faculty members grumbled about completing a 17-page questionnaire, this was an important

Robert Zwier is Associate Professor of Political Science, Northwestern College (IA)

step in obtaining faculty ownership of any new program which would emerge. Following six-eight months of deliberation, the committee sent a proposal to the faculty for an "open hearing," which under our governance procedures involves an extensive debate at the end of which the proposal is automatically referred back to the committee for reconsideration. A second open hearing was held a few weeks later, followed by one more committee revision. In October 1983 the faculty voted in favor of the proposal by a two-to-one margin. No one at Northwestern can say he or she did not have an opportunity to provide input into the decision.

The General Education Program

The current general education program at Northwestern College is as follows:

8 credits	Biblical and Theological Studies
6 credits	History
4 credits	Literature
4 credits	Fine Arts
4 credits	Natural Sciences
4 credits	Social Sciences
4 credits	Language Systems
4 credits	Cross Cultural Studies
4 credits	Senior Seminar
2 credits	Philosophy
2 credits	Physical Education
46 credits	TOTAL

In addition to this coursework, students must demonstrate competency in writing (through a competency test) and math (through ACT scores or coursework).

In many respects, this program is a very traditional distribution system. Although there were a few proposals from faculty and the academic dean to blaze new trails, the "political reality" of the college (discussed more fully below) dictated against significant innovation. A couple of unique features deserve mention.

In most of the areas listed above, students are given some choice about the particular course(s) they can take to fulfill the requirement. Each of these options initially had to be approved by the General Studies Committee, which closely examined syllabi and other materials in the light of several rather strict guidelines. For example, in the social science area, students can choose among seven course options. In approving these options, the Committee required that each proposed course: (1) provide an introduction to one of the social science disciplines; (2) address the most fundamental issues of human social existence, such as the views of human nature and of social institutions; (3) discuss and evaluate the ways in which social scientists discover knowledge; (4) examine the ethical questions involved in the discipline; and (5) introduce students to a Christian perspective. There were separate guidelines for each required area.

In addition, there was an effort to maintain some interdisciplinary coursework, most notably in the cross cultural and senior seminar requirements. Each course option for fulfilling these two requirements also went through an intensive scrutiny by the General Studies Committee.

(The remainder of this paper outlines the points that will be addressed more fully in the panel presentation.)

General Education from a Christian Perspective

1. We believe that truth is found not just in scripture, but in all fields of human knowledge. Therefore, we confess that God's truth can be found in a social science class as well as in a Bible class. Our general education program seeks to integrate a Christian perspective into each course.

2. We believe that education prepares students for lives of service. Our general education program, as well as many of our majors, seeks to provide interpersonal skills, motivation, and opportunities for service to others.

3. The battles over "academic turf" are no less severe in a Christian college than they are in other types of institutions.

4. It is probably true that Christian colleges as a whole never departed from a more rigorous general education program as other institutions did and thus they have not had to "rediscover" general education.

The Politics of the Revision Process

1. The major obstacles to revision are the provincialism of academic departments (the sense that no student can be liberally educated without a course in my field) and the fear of the unknown. Thus, decisions are often made not in the best interests of the student or the institution as a whole but in the best interests of competing departments.

2. As long as an institution is captured by the mentality that liberal arts means accumulating knowledge in various fields, the process of general education revision will follow a compromise style of decision making. Thus, decisions will most often be made by various departments giving in to the proposals of others only if they get their piece of the action too.

3. Some disciplines resist any increase in general education requirements more than others. These tend to be departments with restrictive external standards for curriculum.

4. For those disciplines that are not generally included in a liberal arts curriculum (business, education, etc.), the concern is much more with the total credits required than with the nature of the requirements or the content of the required courses.

5. Administrators are not able to get their proposals accepted by an unwilling faculty.

Lessons Learned

1. It is vitally important to provide faculty members with a sense of participation and ownership.

2. Interdisciplinary coursework (to which we all give lip service) easily gets lost in the turf battles; someone must consciously speak for this cause at all stages.

3. Institutions revising general education programs must be as concerned with the content of the specific courses as with the number and scope of credits required.

4. Students will generally resist any increase in requirements; this resistance can be reduced by providing some choice among options to meet the various requirements.

5. It is important to obtain the support or at least the tacit approval of several "opinion leaders" who represent the various constituencies within the faculty.

6. If you don't like the revisions, take heart! General education programs have a short life-span.

Enrollment Management

Robert E. Glennen

Enrollment management is one of the new clichés in higher education; different campuses attach different meanings. Basically speaking, management entails getting things done through people, and enrollment management gets things done through people for the purpose of attracting students to the university. Enrollment management usually places all the units within a university pertaining to the attraction and retention of students under one administrative head. That individual is designated as an enrollment manager or dean of enrollment management. His/her responsibilities include coordinating and controlling all activities affecting enrollment.

The enrollment management unit frequently includes the following offices: admissions, records and registration, financial aid, career development and placement, student advising, international students, and university honors programs.

While it is fairly clear that almost all institutions want to attract and retain students, it is less clear how an enrollment management system helps attain these goals. An institution can achieve quality and quantity enrollment goals by systematizing and integrating into one administrative unit those services mentioned above which influence enrollments. Three aspects are inherent in an enrollment management division mission to enhance the size, composition and quality of the student body: 1) attracting students with characteristics and qualities which fit or match the university's desired student profile; 2) retaining them through the successful completion of their academic programs (graduation); and 3) expanding and building alumni, community and state support for the university.

An enrollment management division brings together a responsive unified administrative structure. Most of the centralized administrative offices serve the total university community including prospective students, current students, faculty, staff, alumni and friends of the university in all matters pertaining to the new and continuing student enrollments. An enrollment management division acts as both a catalyst and facilitator in assisting the university to achieve excellence in teaching, research and public service. It is a major link between the university and its many constituents. The enrollment management unit provides services and support where it interprets, monitors, and enforces the academic standards of the university.

Robert E. Glennen is President, Emporia State College (KS)

The specific functions of each of the major units in Enrollment Management are as follows:

Enrollment Manager. This individual is responsible for providing leadership; coordinating; planning; communicating; identifying and solving problems; and serving as a resource person and a clearinghouse for all matters pertaining to enrollment management.

Admissions. The Admissions office organizes, directs, budgets, and coordinates the following activities: high school and community college visits; advising of transfer students; developing brochures and admissions literature; articulation with community colleges and universities; directing new student orientation programs; sponsoring conferences for prospective students, principals, and counselors; providing for recruitment of minority students; directing telemarketing efforts; conducting interviews and campus tours; developing and maintaining admissions policies and practices.

Office of Records and Registration (Registrar). This office evaluates undergraduate transfer credit and indicates general education requirements that have been met, evaluates military credit and other non-traditional credits, registers all students into a schedule of classes each semester or summer session, provides accurate and complete permanent records (transcripts) for every student, verifies the completion of degree requirements prior to graduation, collects and provides mid-term and final grade data, provides enrollment reports, and provides internal and external information on student enrollment and grades.

Financial Aid. This office manages all administrative activities for student financial aid; administers all federal, state, and institutional financial aid programs; completes application and reports for federal funds; maintains consistent awarding procedures; establishes refund and prepayment policies; enforces satisfactory progress regulations; coordinates development of computer automated financial aid processing system; advises students on financial aid regulations; provides part-time work-study and student employment information.

Career Development and Placement. This office prepares and disseminates career information on a variety of careers; provides career counseling on a one-to-one basis or in group settings; makes available specific job descriptions and employer information; compiles and prints job vacancy bulletins; provides direct referral service for seniors and alumni; conducts workshops on resumé development, letters of application, interview techniques, credential preparation and career exploration; obtains and disseminates salary information on graduates; coordinates on-campus interviews; provides career library and recruiter information; and conducts follow-up studies on the success of graduates.

Student Advising. The Student Advising Center assists incoming freshmen in making a smooth transition from high school to college. The advising center employs intrusive advising which provides assistance to students before they get into difficulty. Potential

problems are identified and solved before they become crisis situations. The intrusive system calls students in for advising at the beginning of the year and lets them know that there are people on the campus who are concerned about them, interested in them and want them to succeed. The intrusive advising system utilizes faculty advisors who are provided reassigned time from their teaching loads. The advising is conducted in a centralized advising center.

Since these faculty members are not trained counselors, they need to be provided with an in-service program to assist them to become more effective. The in-service program consists of bi-monthly meetings which provide information on curriculum, college rules, and regulations, and advising techniques. These in-service sessions include guest speakers such as counselor educators, psychologists or student personnel workers from various elements of the university. Faculty advisors attend various national and state counseling and guidance conferences and workshops. They view counseling films and read counseling/educational and vocational guidance periodicals.They are instructed on the use of group guidance techniques for dissemination of information. The Student Advising Center also assists undeclared students in making a proper choice of a major.

International Student Office. This office processes international student applications; advises international students; reviews and evaluates admission credentials; coordinates an orientation program; develops informational programs to provide a better understanding of individual culture and values; provides campus and community social and educational activities; issues visa permits, government exchange and immigration forms; handles the registration of international students; and provides remedial programs, Intensive English courses, and special study programs.

University Honors Program. This office oversees the honors program, develops honors curriculum, assists honor students in registering for specific sections and courses, recruits honor students, prepares promotional material, identifies students to be awarded "graduation with honors," develops and arranges special activities for honor students, provides leadership to encourage further development of the honors program and its activities, and coordinates the Honors Council.

The aforementioned services need to be evaluated periodically to determine the value of integrated student recruitment and retention activities. This purpose requires research to collect evaluative data which will measure the effectiveness, identify and recommend ways to accomplish the required marketing plan, and obtain information relative to the dissemination of data to prospective students.

Enrollment management services have a direct, definable impact upon the attraction, admission, and continued enrollment of students. Considerable attention is given to orchestrating the commitment of university services and resources from the point of first contact with students through their graduation and post-college career development. In addition to providing services which influence the academic and career progress of individuals, the unit helps determine the student enrollment levels of the

institution and each academic area. This matching of university purposes and capabilities with student interests and expectations is an underlying intent of enrollment management.

In summary, the management of enrollment is extremely significant to each institution. The national demographics indicate that there are fewer 18 to 22 year olds available for universities today, and the number of students who finish high school is also decreasing. Therefore, the most promising strategy for boosting university enrollment is to increase the recruiting activities and retention rates of students. Enrollment management provides an orderly and organized approach to improving enrollments.

Financial Aid: Strategies for the Future

Mary Haldane

To plan our student financial aid strategies for the future, we must first examine the trends which have emerged over the past several years. In dollars adjusted for inflation:

- the cost of attending college has outpaced inflation. A public university education now costs approximately 16% more than five years ago.
- Family incomes have just kept pace with inflation, increasing only 1%.
- The amount of student financial aid declined 3%; the largest decline, almost 10%, is in financial aid provided by the federal government.
- The number of financial aid recipients has increased 20%, resulting in an 8% decline in the average award.
- The type of financial aid available to students has shifted dramatically. The gift portion of financial aid declined from 80% to 47%, and loans increased from 17% to 50%.

While financial aid resources have declined, the increasing costs of higher education and the increasing financial need of students have resulted in additional need for financial aid.

Although states contribute the most toward higher education, the federal government plays the dominant role in providing financial aid by contributing 77% of the total amount available. Therefore, the federal government has and will continue to set the tone for public and private support of financial aid in higher education. The recent reauthorization of the Higher Education Act of 1965 reflects these major trends: (1) continuation of the present financial aid programs; (2) protection of the fiscal integrity of the programs and fiscal restraint; (3) support for access and choice of postsecondary education; (4) balance between grant and loan; (5) expansion of the institution's flexibility, responsibility, financial commitment, and liability; (6) reaf-

Mary Haldane is Director of Student Financial Aid, Ohio State University (OH)

firmation of a family's and student's responsibility for financing higher education; and (7) more active participation of Congress in the financial aid process and a decreased role for the Secretary of Education.

A new population of students will also be in higher education by the turn of the century. We know who they will be as they are now entering the first grade. They will be poor and minority. One out of four will be poor; one out of ten will have poorly educated or illiterate parents; and one out of three will be non-white.

The increasing burden on students and families of paying for college, the trends in federal financial aid, and the predicted changes in the demographics of college students only reinforce the need for a college to understand the impact of financial aid on its students and its institution.

The impact on the college may be on enrollment, the mission of the college, or its financial stability. A student's receiving the amount of financial aid needed, in the appropriate form (i.e., grant, loan, or work), and delivered at the appropriate time can determine whether the student can attend the lowest cost college or the college of her/his choice. Unless a student perceives that she/he has enough money to attend your college at the time she/he is making her/his college choice, the student will choose another college. The impact may not be only in enrollment numbers, but also on the quality and diversity of students and the enrollment mix, such as whether the college enrolls the right number and types of students within each department.

For a college which relies on tuition income for a large portion of its revenue, enrollment influences the financial stability of the college. Colleges are also faced with new financial burdens to cover the lack of federal financial aid available. A bigger financial drain, however, may be the increased administrative support needed to run the financial aid programs effectively and efficiently.

A college needs to plan strategies to assure that students have a choice to attend that college and a chance to graduate. These strategies should include at least a comprehensive, institution-specific financial aid policy and a process for changing the policy as the internal or external enrollment changes; involvement by the upper-level administration; an adequate support system for delivering financial aid; and legislative influence.

Each college should examine its financial aid program to assess its impact on enrollment, retention, academic programs, and other student affairs programs. Does the financial aid program provide the amount and type of financial aid necessary? What students are selected to receive it? Is the financial aid awarded in a timely manner? An adequate level of financial aid is necessary, irrespective of the sources; however, the amount provided by the college must be a balance between what the students' needs are and how much can be diverted from other areas of the college, such as academic programs, without jeopardizing the quality and mission of the college. A committee and process should be established to maintain a continuous review of the college's financial aid programs.

Upper-lever administrators, including the President and Chief Academic Officer, should understand the role and importance of financial aid to the college since financial aid can have an impact on the financial stability and the mission of the college. The support system for financial aid should include a staff which is able to respond to changing conditions, such as fluctuating levels of federal funding, new administrative regulations and procedures, and differing staffing and computer systems needs. The financial aid staff needs to be flexible, creative and visionary. Many students have greater contact, and over a longer period of time, with the financial aid office staff than with any other office staff on campus. Lastly, with the magnitude of federal and state financial aid, some staff must be responsible for monitoring and responding to laws, regulations, and funding related to financial aid. This should include a continuing relationship with legislators themselves.

The Changing Role of the Governing Board

George Janik

Academic program quality is something Boards are having to deal with today in ways that are new to their thinking. Institutions are facing internal demands from students and others as well as external pressure from legislators and the broader community on the cost and related value of higher education. The performance of institutions in achieving key results from admissions, curriculum and teaching excellence and the successful placement of graduates in the market place are under scrutiny, with Boards of Trustees having to assume an increased role in measuring performance.

Presidents and Boards need to be able to communicate more effectively on status and progress. Trustees require more knowledge and have to exercise more *planned* involvement in academic affairs than they have been asked to do in the past. Also, to ensure the involvement does not interfere with the process of administration of the college or university. How well they are able to do will have an impact on the perceived academic quality of the institution and its longer term viability. It is a changing role for most Trustees and Boards and it requires careful consideration.

Traditional Responsibilities of Boards of Trustees

As often as it has been said it bears repeating: Boards of Trustees set policy and hire Presidents to administer policy with their support. Sounds simple, but implementation can vary greatly from institution to institution and so does the degree of success. Boards have occupied themselves with traditional areas: Fiscal Planning and the Budget, Capital Programs (Building and Grounds), Fund Raising, Long Range Planning, Alumni and Community Affairs, and Academic and Student Affairs. Boards, in my opinion, know less and are involved less in Academic and Student Affairs; that is because these areas have traditionally been domains of the faculty and academic administrators, in some cases even to the point of policy making. In summary, this is new ground for many trustees and boards.

George Janik is Branch Manager-Commercial, IBM Corporation, and Trustee, Kent State University (OH)

The Changing Environment of Higher Education that is Moving Boards to a Changed Role in Academic Governance

The enrollment decline higher education is experiencing and will continue to experience for the next several years has focused everyone involved with directing institutions and programs, including Boards of Trustees, on the need to maintain student population at all costs. This, "at all cost," has led to decisions on programs for student retention, admissions, core curricula and degree offerings, quality of teaching staff, etc., that need to be evaluated and accurately audited in order to make sure they are working and not potentially creating future negative impact on the institution. Presidents and administrators, and now Boards of Trustees, are in a "Catch 22" position of having to respond to a window in time of serious challenges without trading off the future.

What Can Boards Do?

Boards need to reevaluate their decision-making structure, and the effectiveness of communication with administration as it relates to programs of academic excellence. In addition, to implement, with the President, a plan and program to audit and measure performance in key areas of academic and student affairs. Demographics, SAT scores and grade curves are not enough. Finally, and basic to all this is the requirement to affirm the board's commitment to the responsibility of setting policy so as to avoid wandering into the administration and procedures of the institutions they govern. If it is done right it will provide for a healthy confidence level in directing the future, which appears to be one of tremendous growth opportunity.

Developing a Faculty for the Future: Cost-Effective Faculty Renewal

William Nelsen

Thesis: "Faculty will continue to be our most important educational resource, a resource which must be supported, encouraged, and given opportunities for renewal. A wide variety of cost-effective faculty renewal programs have been and can be created to meet both faculty and institutional needs for the future."

Faculty are the most important resources that a college has. In recent years a great deal of attention has been given to questions of early retirement and helping faculty make transitions to other professions. But the primary focus of our attention must be on the faculty who stay. For these faculty, we must have in place comprehensive, yet flexible, programs to ensure their continuing renewal and development.

There are a number of colleges and universities in this country with significant funds available for faculty development activities. But most higher educational institutions will continue to operate with relatively low budgets for such activities. How can a comprehensive program of faculty renewal be maintained when resources are limited?

The experiences of the 1970's and early 1980's in faculty development have taught us that it is possible to start and maintain a wide variety of faculty renewal programs at a relatively modest cost. The author has developed a list of what he terms "Fifteen Plus One Low Cost Ideas for Faculty Development."

The list includes such programmatic areas as: small grants for professional development, carefully scheduled sabbatical leaves, well-planned released time assignments, faculty-student research programs, faculty exchanges, new opportunities for scholarly presentations, interdepartmental visitations, corporate-faculty development activities, on-campus seminars, regular programs of sharing and teaching, taking another faculty member's class, establishing a good evaluation system, professional growth planning, proper feedback and encouragement, and other ideas. The "Plus One" refers to the great importance of setting high standards and expectations for continuing renewal.

Each of these ideas will be expanded upon during the presentation.

William Nelsen is President, Citizens' Scholarship Foundation of America (MN)

The future for faculty—and for faculty renewal programs—can be bright, if college administrators and faculty are willing to dedicate themselves to both learning the variety of possibilities and creating the proper climate on campus that promotes continuing renewal.

Non-Traditional Graduate Education: A Many Splendored Thing

Carl E. Rollyson, Jr.

When I speak of nontraditional graduate education, I have in mind, of course, a concept of the traditional. Traditional graduate students are full-time students. They are recent recipients of an undergraduate degree. They have come to specialize, to take courses and to write a thesis or dissertation in a single discipline. These students require no particular orientation—after all, they have been in college for at least four years. They are campus based or nearby the college classroom and can be expected to remain in residence at least until they begin research on their theses or dissertations. These students are, first and foremost, scholars renowned for the depth, not the breadth, of their knowledge.

How many graduate students or prospective graduate students still fit the traditional profile? Certainly at urban institutions like Wayne State in Detroit the traditional profile is becoming less and less visible. The majority of our students work. Many of them have been out of school for several years. Their interests tend to be inter- or multi-disciplinary. They are at sea on an unfamiliar campus and are ill equipped to take advantage of student services primarily designed for undergraduates. Rather than looking ahead to a career in teaching, they are much more likely to view graduate education as a way to enhance their current positions in business and industry. Or these nontraditional students may be competing with fellow employees parlaying their advanced degrees into higher paying and more challenging managerial jobs. These are older students in their thirties and forties, many of whom have just gotten undergraduate degrees through evening and weekend college programs. They are amazed to find themselves even considering graduate school, and then they are dismayed to see how rigid graduate programs are when compared to the flexibility they found so welcome on the undergraduate level.

By and large, faculty have not responded well to this growing diversity in the graduate student population. Faculty at major research institutions stick close to their disciplines, search out the dwindling pool of traditional students, and pretend that the old model of graduate education is the only model imaginable. Yet changes in the model are beginning to occur in spite of this reluctance to come to grips with the realities of

Carl E. Rollyson, Jr. was Assistant Dean of the Graduate School, Wayne State University (MI); he is currently at the City University of New York, Bernard Baruch College

modern, urbanized life. Wayne State, for example, offers graduate classes at night and financial aid for part-time students. The innovative summer doctoral program in Nursing allows students to establish residency by attendance at consecutive summer sessions. The Physics department has a program of videotaped classroom lectures that speaks to the flexible scheduling needs of adult, working students. Northeastern Illinois University has devised a schedule of courses that allows part-time, working students, to complete their masters' degrees entirely at night. But considering the tremendous changes that have taken place in how information is communicated, it is shocking to contemplate how little universities have employed on the graduate level video cassettes, audio cassettes, computers, weekend conferences, and various other off-campus satellite centers and alternative delivery systems.

For undergraduates the use of innovative delivery systems that substitute for the traditional classroom is almost commonplace now. Usually the employment of these systems has been accompanied by curricular programs that emphasize the interdisciplinary nature of knowledge. At the graduate level, this erosion of disciplinary boundaries is what has been most fiercely resisted by faculty, yet their own research is beginning to demonstrate the limitations of the very disciplines that give life to their work. In the 21st century the distribution of information, of learning, will certainly not be centralized on university campuses or within the disciplines. Instead, there will be learning networks—we already have some now for scholars, but students will also have their own computer, video and audio networks. The question, then, is whether colleges can create new learning environments that do not depend on "seat time" in the classroom or solely on narrow specialization. Without a reconceptualization of the learning environment, colleges and universities will not be in a position to take advantage of the enormous information revolution that is transforming the nature of the home, the factory, and the office.

APPENDIX

THE GENERAL INSTITUTIONAL REQUIREMENTS AND THE EVALUATIVE CRITERIA

GENERAL INSTITUTIONAL REQUIREMENTS

An institution affiliated with the Commission by either accreditation or candidacy has to meet the following Requirements:

Mission and authorization

1.a. The institution has formally adopted and made public its statement of mission.

1.b. The statement of mission is appropriate to an institution of higher education.

1.c. The institution confers certificates, diplomas or degrees.

1.d. The institution has legal authority to confer its certificates, diplomas and degrees.

1.e. The institution meets all legal requirements to operate wherever it conducts activities.

2.a. The educational programs are compatible with the institution's mission.

2.b. The principal educational programs are based on recognized fields of study at the postsecondary level.

2.c. At least one of the undergraduate programs is two or more academic years in length (or the equivalent). If no undergraduate programs are offered, at least one of the graduate programs is one or more academic years in length (or the equivalent).

2.d. General education at the postsecondary level is an essential element of undergraduate degree programs and a prerequisite to graduate degree programs.

2.e. General education and/or a program of related instruction at the postsecondary level is an essential element of undergraduate certificate and diploma programs two or more academic years in length.

2.f. The certificate, diploma or degree awarded upon successful completion of an educational program is appropriate to the demonstrated attainment of the graduate.

Institutional organization

3.a. There is a governing board, legally responsible for the institution, which establishes and regularly reviews basic policies that govern the institution and protect its integrity.

3.b. The governing board includes individuals who represent the public interest. (Note: In rare situations the Commission may approve alternative means by which the interests of the public are appropriately represented when unusual circumstances prohibit public representatives on the board.)

3.c. An executive officer is designated by the governing board to administer the institution.

3.d. A faculty comprising persons qualified by education and experience is significantly involved in the development and review of the educational programs.

3.e. Admissions policies are consistent with the institution's mission and appropriate to the educational programs.

3.f. Admissions practices conform to the admissions policies.

Financial resources

4.a. The institution has financial resources sufficient to support its activities.

4.b. The institution has its financial statements externally audited on a regular schedule by a certified public accountant or state audit agency.

Public disclosure

5.a. The institution publishes in its catalog or other appropriate places accurate information that fairly describes

i. its educational programs,
ii. its policies and procedures directly affecting students,
iii. its charges and its refund policies,
iv. the academic credentials of its faculty members and administrators.

5.b. The institution makes available upon request accurate information that fairly describes its financial resources.

THE EVALUATIVE CRITERIA FOR ACCREDITATION AND CANDIDACY

THE EVALUATIVE CRITERIA FOR ACCREDITATION

An accredited institution fulfills four **Evaluative Criteria:**

1. it has clear and publicly stated purposes, consistent with its mission and appropriate to a postsecondary educational institution;
2. it has effectively organized adequate human, financial and physical resources into educational and other programs to accomplish its purposes;
3. it is accomplishing its purposes;
4. it can continue to accomplish its purposes.

THE EVALUATIVE CRITERIA FOR CANDIDACY FOR ACCREDITATION

A candidate for accreditation fulfills four **Evaluative Criteria:**

1. it has clear and publicly stated purposes, consistent with its mission and appropriate to a postsecondary educational institution;
2. it has effectively organized adequate human, financial and physical resources into educational and other programs so that it is accomplishing its immediate purposes;
3. it is following realistic plans to acquire and organize any additional resources needed to accomplish its stated purposes;
4. it has the potential to achieve accreditation within the candidacy period.

NOTES

A Collection of Papers on
Self-Study and Institutional Improvement
1988

North Central Association of Colleges and Schools
Commission on Institutions of Higher Education
159 North Dearborn Street
Chicago Illinois 60601

252